Army Regulation 623–3

Personnel Evaluation

Evaluation Reporting System

Headquarters
Department of the Army
Washington, DC
14 February 2025

UNCLASSIFIED

SUMMARY of CHANGE

AR 623–3
Evaluation Reporting System

This administrative revision, dated 25 February 2025—

- Replaces the word "gender" with the word “sex” in accordance with Executive Order 14168, section 3(c) (para 3–21a).

This mandated revision, dated 14 February 2025—

- Removes Diversity, Equity, Inclusion and Accessibility Policy and Programs pursuant to Executive Order 14151 (throughout).

Headquarters
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Effective 14 February 2025

Personnel Evaluation

Evaluation Reporting System

By Order of the Secretary of the Army:

RANDY A. GEORGE
General, United States Army
Chief of Staff

Official:

Julie A. Blanks
Acting Administrative Assistant to the Secretary of the Army

History. This publication is an administrative revision. The portions affected by this administrative revision are listed in the summary of the change.

Summary. This regulation prescribes the policy and tasks for the Army's Evaluation Reporting System, including officer, noncommissioned officer, and academic evaluation reports focused on the assessment of performance and potential. It includes policy, operating tasks, and rules in support of operating tasks`.

Applicability. This regulation applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. It also applies to Department of the Army Civilians, and to U.S. Armed Forces and U.S. Coast Guard officers, officers of Allied Armed Forces, and employees of the U.S. Government who serve as rating officials in the performance of their personnel management responsibilities as established by this regulation and in accordance with applicable Joint, Department of Defense, and civilian personnel management policy. It does not apply to retirees. This regulation applies during mobilization in conjunction with the Personnel Policy Guidance published for each operation and issued by Headquarters, Department of the Army.

Proponent and exception authority. The proponent of this regulation is the Deputy Chief of Staff, G–1. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent has delegated this approval authority to the Commanding General, Human Resources Command, who may further delegate this authority to a division chief, Human Resources Command, in the rank of colonel or the civilian equivalent. Human Resources Command is a direct reporting unit to the proponent agency. Activities may request a waiver to this regulation by providing justification which includes a full analysis of the expected benefits and must include a formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix I).

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Deputy Chief of Staff, G–1 (DAPE–ZA), 300 Army Pentagon, Washington, DC 20310–0300.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Commander, U.S. Army Human Resources Command (AHRC–PDV–E), 1600 Spearhead Division Avenue, Department 470, Fort Knox, KY 40122–5407.

Distribution. This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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*This regulation supersedes AR 623-3, dated 14 June 2019.

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Introduction

Section I

Overview

1–1. Purpose

This regulation prescribes the policy for completing evaluation reports and associated support forms that are the basis for the Army's Evaluation Reporting System (ERS). This includes DA Form 67–10–1 (Company Grade Plate (O1 – O3; WO1 – CW2) Officer Evaluation Report), DA Form 67–10–2 (Field Grade Plate (O4 – O5; CW3 – CW5) Officer Evaluation Report), DA Form 67–10–3 (Strategic Grade Plate (O6) Officer Evaluation Report), and DA Form 67–10–4 (Strategic Grade Plate General Officer Evaluation Report), hereafter referred to collectively as DA Form 67–10 series (officer evaluation report (OER)). It includes DA Form 67–10–1A (Officer Evaluation Report Support Form) and DA Form 2166–9–1A (NCO Evaluation Report Support Form), hereafter referred to collectively as support forms. This regulation prescribes DA Form 2166–9–1 (NCO Evaluation Report (SGT)), DA Form 2166–9–2 (NCO Evaluation Report (SSG – 1SG/MSG)), and DA Form 2166–9–3 (NCO Evaluation Report (CSM/SGM)), hereafter referred to collectively as DA Form 2166–9 series (noncommissioned officer evaluation report (NCOER)). Further, this regulation prescribes DA Form 1059 (Service School Academic Evaluation Report); DA Form 1059–1 (Civilian Institution Academic Evaluation Report), and DA Form 1059–2 (Senior Service and Command and General Staff College Academic Evaluation Report), hereafter referred to collectively as DA Form 1059 series (academic evaluation reports (AERs)). DA Form 67–10 series (OER), DA Form 2166–9 series (NCOER), and DA Form 1059 series (AER) are hereafter referred to collectively as evaluation reports. Procedures, tasks, and steps pertaining to the completion of each evaluation report and support form are contained in DA Pam 623–3.

1–2. References and forms

See appendix A.

1–3. Explanation of abbreviations and terms

See glossary.

1–4. Responsibilities

a. The Deputy Chief of Staff (DCS), G–1 serves as the policy proponent for the ERS and will ensure that the Commanding General (CG), U.S. Army Human Resources Command (HRC) will—

(1) Act as lead agency for the Secretary of the Army and be responsible for the effective operation of the ERS.

(2) Exercise final review authority on all evaluation reports received at Headquarters, Department of the Army (HQDA), regardless of component. This includes the following:

(a) Determining that a report is correct, as submitted, and needs no further action.

(b) Correcting, or returning to rating officials for correction, reports that may be in error, may violate provisions of this regulation, or would result in an injustice to a Soldier or a disservice to the Army.

(c) Directing rating officials to submit addenda to reports needing clarification.

(d) Collecting information to be attached as addenda to reports when such action is necessary.

(e) Directing commanders to investigate apparent errors or violations of this regulation and to submit their findings and recommendations. These will be attached to the report or otherwise disposed of as the CG, HRC deems appropriate.

(3) Direct the rendering of evaluation reports when circumstances warrant and other provisions of this regulation do not apply.

(4) Clarify policy, grant exceptions to policy, or propose new policy, as the need arises.

(5) Dispose of Commander's or Commandant's Inquiries conducted in accordance with chapter 4 and chapters governing the subject evaluation, as deemed appropriate.

(6) Process evaluation report appeals and update Soldiers' Army Military Human Resource Records (AMHRRs) accordingly.

b. Commanders and commandants at all levels, and the Chief, National Guard Bureau (NGB) will ensure that—

(1) A copy of this regulation, or the appropriate web link to this regulation, is available to the rated Soldier and rating officials.

(2) Rating officials are fully qualified to meet their responsibilities.

(3) Reports are prepared and completed by the rating officials designated in the published rating scheme.

(4) Rating chains correspond as nearly as practicable to the chain of command or chain of supervision in a timely manner and do not promote an elevation of the rating chain beyond the senior rater's ability to have adequate knowledge of each Soldier's performance and potential, in order to provide an elevated assessment protection for a specific group, commonly referred to as "pooling". Pooling runs counter to the intent of the ERS and is prohibited. Senior raters must evaluate and identify their best Soldiers based on performance and potential, regardless of the particular position they occupy.

(5) Rating schemes for Soldiers receiving OERs and NCOERs show the rated Soldier's name, indicate the effective date for each designated rating official, and are published within the unit and made accessible, either manually or electronically, to each rated Soldier and each member of the rating chain. Any changes to rating schemes will also be published and distributed. No changes may be retroactive. Published rating schemes are not required for students receiving an AER, however, the student will be notified who will rate and review, by position, the student's performance.

Note. In all cases where the term "unit" is used, it encompasses whatever type of military unit, organization, or agency the Soldier served in during the rating period.

(6) For the Army National Guard (ARNG) (not Active Guard Reserve (AGR) or full-time National Guard duty), official rating schemes are published by name, should include duty position, and be posted in the unit so all Soldiers are familiar with their rating chain. The published rating schemes will include the effective date of each of the rating officials in the rating chain. The rating scheme for all ARNG or AGR Soldiers will be by name.

(7) Rating officials give timely counseling to subordinates on professionalism and job performance, encouraging self-improvement, when needed.

(8) Each rating official personally knows how the subordinates whom they evaluate performed during the rating period.

(9) Rating officials provide candid assessments of rated Soldiers.

(10) Each senior rater (and reviewer or supplementary reviewer, if any) understands that they will evaluate reports to ensure that objectivity and fairness have been maintained within the interests of both the Army and the rated Soldier. The senior rater will also understand that if they note any errors or omissions on evaluation reports, corrections must be made prior to completion and submission to the appropriate HQDA component.

(11) Each rated Soldier is provided a copy of their rater's and senior rater's support forms (or equivalent) at the beginning of the rating period and their completed evaluation report at the end of the rating period (does not apply for students receiving AERs).

(12) Referred reports (OERs and AERs) are provided to the rated Soldier for acknowledgment or comment before being sent to HQDA. This also applies to OER, AER, and NCOER addenda and AER addenda containing unfavorable information and submitted under the provisions of paragraph 3–39. In such instances, commanders will ensure that the rated Soldier understands that their comments do not constitute an appeal or a request for Commander's or Commandant's Inquiry.

(13) Soldiers receive assistance, if requested, in preparing and submitting appeals.

(14) Local submission procedures support senior raters' responsibility (OER and NCOER) and schools' responsibility (AERs) to ensure that completed evaluation reports arrive at HQDA no later than 90 days after the "Thru" date of the evaluation report, or as stipulated in a military personnel (MILPER) message announcing an HQDA-level selection board for review and filing into the rated Soldier's AMHRR. The importance of the evaluation report, as with many personnel actions within a Soldier's military career, especially those involving HQDA selection boards, requires that this suspense be met.

(15) Duties pertaining to the Evaluation Report Redress Program, described in chapter 4, are performed when an evaluation report rendered by a subordinate appears to be illegal, unjust, or otherwise in violation of this regulation.

(16) Requests for clarification of policy, exceptions to policy, and new policy are forwarded to the CG, HRC. Commanders will ensure that the CG, HRC, is informed of situations that—

(a) Are not clearly and adequately covered by this regulation and any policy issued by HRC.

(b) Would result in an injustice to a Soldier or a disservice to the Army if new policy is not made or an exception is not granted.

(17) Army physical fitness test (APFT) and height/weight requirements are administered in accordance with AR 350–1 and AR 600–9.

(18) The APFT and height and weight screening is administered during resident professional military education and functional training courses for which it is a course graduation requirement. Non-resident courses will verify that the Soldier meets APFT and height/weight requirements in accordance with AR 350–1 upon enrollment.

c. Appendix H contains command roles specific for Chief, NGB.

1–5. Records management (recordkeeping) requirements

The records management requirement for all record numbers, associated forms, and reports required by this regulation are addressed in the Army Records Retention Schedule-Army (RRS–A). Detailed information for all related record numbers, forms, and reports are located in ARIMS/RRS–A at https://www.arims.army.mil. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS–A, see DA Pam 25–403 for guidance.

1–6. Levels of work

a. The evaluation function is the responsibility of rating officials, rated Soldiers, battalion (BN) and brigade (BDE) adjutants (S1) or unit personnel administration offices, and HQDA. Manpower officials will use the workload factors (obtained in Manpower Staffing Standards Systems) to determine the manpower authorizations.

b. The focus of this regulation is on the rating chain's adherence to ERS requirements at every unit supported by an S1/human resources specialist or personnel administration manager.

c. Senior raters of OERs and NCOERs, or the senior rater's representative, regardless of component (Regular Army, U.S. Army Reserve (USAR), or ARNG), are required to ensure compliance with standards of preparing and forwarding evaluation reports prescribed by this regulation and/or DA Pam 623–3.

d. The appropriate authenticating official, commandant, or civilian academic institution official is required to ensure compliance with standards of preparing and forwarding AERs as prescribed by this regulation or DA Pam 623–3.

Section II

Principles and Standards

1–7. Principles of support

The ERS will—

a. Evaluate the performance and potential of officers, in the grades of warrant officer one (WO1) through brigadier general (BG), in peacetime and wartime.

b. Evaluate the performance and potential of noncommissioned officers (NCOs), in the grades of sergeant (SGT) through command sergeant major (CSM), in peacetime and wartime.

c. Evaluate the performance of Soldiers during Department of Defense (DoD), civilian educational, medical, or industrial institution programs.

d. Support the Army's personnel life cycle function.

1–8. Standards of service

a. Evaluation Reporting System overview.

(1) The ERS encompasses the means and methods needed for developing people and leaders. An effective ERS involves the execution of leadership, the establishment of a rating relationship with personal interaction, the conduct of developmental counseling and reviews, and the determination of critical assessments. The Army routinely reviews the ERS to ensure that it remains relevant and in support of its goals.

(2) The ERS identifies Soldiers who are best qualified for promotion and assignment to positions of greater responsibility. The ERS also identifies Soldiers who will be kept on active status , retained in grade, or eliminated from military service.

(3) The ERS combines major elements of counseling, assessment, documentation, and integration with other personnel functions to meet the needs of the Army, rating officials, and rated Soldiers in their current environments. Its basic foundation—to evaluate today's Soldiers to select and develop tomorrow's leaders—will remain consistent.

(a) Rating officials assess a Soldier's performance and potential against the standards of the Army Leadership Requirements Model containing attributes and competencies, the organization's mission, and a particular set of duties, responsibilities, tasks, and objectives using a series of box checks, narratives, bullet comments, and evaluation report rating techniques (see ADP/ADRP 6–22). The intent of the ERS is to drive rated Soldiers to meet or exceed the standards. While standards or techniques may change, the ERS will continue to be the most accurate and effective assessment tool and development system possible. It will accomplish its mission of developing people and leaders.

(b) All members of the rating chain, to include the rated Soldier, should participate in relationships necessary to facilitate the leadership, involvement, and developmental counseling needed for an effective ERS.

(4) Under the ERS, a Soldier is evaluated on their performance and potential. The ERS consists of two categories of evaluation reports:

(a) Mandatory and/or optional evaluations. The applicable evaluation report forms are the DA Form 67–10 series (OER) and DA Form 2166–9 series (NCOER). These evaluations focus on a Soldier's duty performance, or how well a Soldier performs their assigned tasks as related to the Army Leadership Requirements Model (see ADP/ADRP 6–22). They also focus on potential assessments to include judgments about a Soldier's ability to perform at the current and higher grade or rank, whether a Soldier will be given greater responsibility at the present rank, or whether a Soldier will be retained for further military service. Assessments of performance and potential by rating officials are extremely important factors when determining an individual's potential for leadership compared to their peers.

(b) School evaluations. The applicable evaluation report forms are DA Form 1059 and DA Form 1059–2 (for military institutions) or DA Form 1059–1 (for civilian institutions). These evaluations focus exclusively on the Soldier's performance and accomplishments while attending a school or course. For resident students in courses greater than two weeks, the time period covered by a DA Form 1059 or DA Form 1059–2 producing school will be counted as nonrated time on the OER or NCOER that covers the same period. Some instances exist for Soldiers enrolled in nonresident courses who may receive an AER assessment for the nonresident course as the same period of time of an OER or NCOER. In these nonresident course instances, the AER assessment period will not be counted as nonrated time for any due OER or NCOER. Comments pertaining to academic performance during the nonresident course will only be used on the DA Form 1059 or DA Form 1059–2 and will not be included in OERs or NCOERs.

(c) Additional information. Selection boards and personnel management systems will be used to evaluate a Soldier's entire career and their personnel file. Evaluation reports capture rating officials' single time-and-place assessments. When preparing assessments, keep in mind the Soldier's leadership potential compared with their peers; the Army's ever-changing requirements for Soldiers with certain backgrounds, experiences, and expertise; and the Soldier's qualifications as a leader based on demonstrated skills, specialized training, military and civilian schooling, and/or other unique skills required by the Army. The size of the Army and its leader corps is limited by law in terms of strength by grade, and the Army limits the number of selections and assignments that can be made.

b. Evaluation Reporting System principles.

(1) The ERS assesses the quality of Soldiers and determines the selection of future Army leaders and the course of their individual careers. It supports many current Army and Joint personnel management programs. The ERS places emphasis on the senior and/or subordinate communication process; the characteristics of evaluation reports ensure that leaders' specialties are considered along with the specialty requirements of their duty positions when they are evaluated.

(2) The ERS is a multifunctional system that allows the rater to give shape and direction to the rated Soldier's daily performance; provides a chain of command or chain of supervision assessment of an individual Soldier's performance and potential for promotion, schooling, and successive assignments; and permits the entire evaluation reporting process to be reviewed.

c. Evaluation Reporting System functions.

(1) The primary function of the ERS is to provide information to HQDA for use in making personnel management decisions. Components of this information include the following:

(a) Evaluation reports, which must be thoughtful and fair appraisals of Soldiers' abilities, based on personally observed performance and potential. Each evaluation report must be accurate and complete to ensure that sound personnel management decisions can be made and that a rated Soldier's potential can be fully developed. Evaluation reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions increasingly difficult.

(b) Indoctrination of the Army Leadership Requirements Model and basic Soldier responsibilities to strengthen the Army's ability to meet future professional challenges. The continued use of the Army Leadership Requirements Model and Soldier responsibilities as evaluation criteria provides and reinforces a professional focus for rating officials' evaluation of performance (see ADP/ADRP 6–22).

(c) An appraisal philosophy that recognizes a single evaluation report will not normally determine a Soldier's Army career ("whole file" concept) and emphasizes continuous professional development and growth, will best serve the Army and the rated Soldier.

(d) Rating chains' views of performance and/or potential for use in centralized selection, assignment, and other personnel management. The information in evaluation reports, the Army's needs, and the individual Soldier's qualifications will be used together as a basis for such personnel actions as school selection, promotion, assignment,

military occupational specialty (MOS) classification, sergeant major (SGM)/CSM designation, and overall qualitative management.

(2) The secondary function of the ERS is to encourage leader professional development and enhance mission accomplishment through sound senior and/or subordinate relationships that stress the importance of setting standards and giving direction to subordinate officer and NCO leaders. Properly used, the ERS can be a powerful leadership and management tool for the rating chain.

(a) Senior and/or subordinate communication through performance counseling is necessary to maintain high professional standards and is the key to an effective ERS. Such communication contributes greatly to Armywide improved performance and professional development.

(b) Use of required support forms by rating officials while counseling provides the basis for performance counseling. Evaluation reports give the rated Soldier formal recognition for their duty performance; calibrate a measurement of their professional values and personal traits; and assess their potential for promotion, specialized schooling, command, and/or positions of greater responsibility.

d. Evaluation Reporting System process.

(1) Officers and their rating officials will use the DA Form 67–10 series (OER), DA Form 67–10–1A, and the electronically generated Rater and Senior Rater Profile reports, as applicable. The term "officer" refers to both commissioned officers and warrant officers, unless otherwise specified. However, rating chains will recognize the basic differences between commissioned and warrant officers when evaluating performance and potential. Appendix B describes these differences and gives the policies and instruction unique to warrant officer evaluations.

(2) NCOs and their appropriate rating officials will use DA Form 2166–9 series (NCOER), DA Form 2166–9–1A, and the electronically generated Rater Tendency and Senior Rater Profile reports, as applicable. For corporals (CPLs), no NCOER will be prepared, only the DA Form 2166–9–1A will be used.

(3) During the rating period, support forms and counseling sessions will aid the preparation of a final evaluation report.

(a) The evaluation process actually starts before the rating period, when the rated Soldier's rating chain is established by the commander, commandant, or leader of an organization, and approved by the next higher commander, commandant, or leader of an organization for two-star level commands (or equivalent organizations) and below. The AER rating chains will be established by the commandant or dean of the appropriate school or unit administration office with oversight to ensure adequate evaluation of a rated Soldier and/or student.

(b) The rater will ensure that the rated officer or rated NCO receives a copy of the rater's and senior rater's support forms. These documents will provide the rated Soldier essential rating chain direction and focus to aid in developing their support form. A face-to-face discussion of duties, responsibilities, and objectives between the rater and the rated Soldier assists in drafting the initial support form(s).

e. Initial counseling. Counseling will be conducted within 30 days after the beginning of the rating period, and quarterly thereafter, for NCOs, WO1s, chief warrant officers two (CW2s), lieutenants (LTs) (includes first lieutenants (1LTs) and second lieutenants (2LTs)), and captains (CPTs). Counseling for all other grades will be on an as-needed basis. It is helpful to develop a duty description for the Soldier and identify major performance objectives to accomplish during the rating period. Counseling will also be used to guide the rated Soldier's performance during the early part of the rating period. Use of the appropriate support form for grades WO1 through colonel (COL) and NCOs is mandatory and required in conjunction with counseling.

f. Rating chain and form processing. Support forms and evaluation reports will reflect the rating officials published in the official rating scheme (see para 2–3). DA Pam 623–3 explains what information is required for each form and how rating officials can accomplish the process from the initial performance counseling to the submission of a complete and accurate evaluation report to HQDA.

Section III

Special Circumstances

1–9. Assessments of performance and potential on evaluations

Army evaluation reports are independent assessments of how well the rated Soldier met duty requirements and adhered to the professional standards of the Army's Officer Corps or NCO Corps within the period covered by the report. Performance will be evaluated by observing actions, demonstrated behavior, and results from the point of view of the Army Leadership Requirements Model and responsibilities identified on evaluation reports and support forms. These will be documented as explained in DA Pam 623–3. The following circumstances will be considered:

a. The relative experience of the rated officer or NCO.

b. The efforts made by the rated officer or NCO.

c. The results that could be reasonably expected given the time and resources available. Assessments of potential will be performance-based assessments of rated officers' or NCOs' ability to perform in positions of greater responsibility and/or higher grades compared to others of the same grade. These assessments will apply to all officers and NCOs, regardless of their opportunity to be selected for higher positions or grades, and will ignore such factors as impending retirement, release from service; assessments of potential continually change and are ultimately reserved for HQDA.

d. For OERs and NCOERs, rater comments are specific to performance-based assessments. Intermediate raters (OER only) may comment on both performance and potential when writing assessments. Potential comments are reserved for senior raters on both OERs and NCOERs. As an exception, raters who assess officers on DA Form 67–10–3 and DA Form 67–10–4 may comment on both performance and potential.

1–10. Changes to an evaluation report

a. Members of the rating chain, the BN/BDE S1 and/or servicing administrative office, or HQDA will point out obvious inconsistencies or administrative errors to the appropriate rating officials. Except to comply with this regulation and DA Pam 623–3, no person may require changes be made to an evaluation report.

b. After necessary corrections are made, the original evaluation reports, with authenticated signatures, will be submitted to the appropriate agency as indicated in appendix F.

c. HQDA review may result in necessary corrections to an evaluation report, after coordination with the appropriate rating officials, whenever possible.

1–11. Commander's or Commandant's Inquiry

During the evaluation process or after it has been completed, when a commander or commandant discovers that an evaluation report rendered by a subordinate or a subordinate command may be illegal, unjust, or otherwise in violation of this regulation, her or she will conduct an inquiry into the matter. The definition of a rendered evaluation report is one that is authenticated by all designated rating officials with a senior rater's intent to present the final evaluation report to the rated Soldier for authentication, or apply the appropriate statement in the absence or inability for the rater Soldier to authenticate. The Commander's or Commandant's Inquiry will be confined to matters related to the clarity of the evaluation report, the facts contained in the evaluation report, the compliance of the evaluation with policy and procedures established by HQDA, and the conduct of the rated Soldier and members of the rating chain. The official does not have the authority to direct that an evaluation report be changed; command influence may not be used to alter the accurate evaluation of a rated Soldier by a rating official that was made in good faith. The procedures used by the commander or commandant to process such an inquiry are described in chapter 4.

1–12. Access to evaluation reports

a. Access to Army evaluation reports at HQDA is limited to the rating officials on the evaluation report, the rated Soldier, the BN/BDE S1 or administrative office servicing the unit responsible for preparing and processing the evaluation report, and/or those authorized to use evaluation reports for personnel management purposes. Requests to access evaluation reports prepared by another unit or rating chain officials cannot be granted.

b. Evaluations will be placed in the performance folder of the AMHRR.

c. Selection board members and career managers will not have access to NCOERs in an NCO's AMHRR once such an NCO is commissioned as an officer or appointed as a warrant officer.

d. Individual copies of completed non-classified evaluation reports are available to rated Soldiers in their AMHRR.

e. Classified evaluation reports are not maintained in an open online system, individual personal copies of completed classified evaluation reports are prohibited, even by the rated Soldier. Official copies of completed classified evaluation reports are maintained with the Soldier's official file for use in making career management decisions and for review by selection boards. Local units will maintain copies of submitted classified evaluation reports in accordance with AR 380–5 and as discussed in paragraph 3–23.

f. Safeguarding of evaluation reports is essential, as the information they contain is personal in nature, and may contain personally identifiable information (PII).

Note. Policy concerning filing of evaluation reports is available in AR 600–8–104.

1–13. Mobilization

Definitions of the categories of mobilization are found in the DoD Dictionary of Military and Associated Terms.

1–14. Privacy Act statement

a. Authority. Privacy Act authorities are contained in Section 7013, Title 10, United States Code (10 USC 7013); and Executive Order 13478, Social Security Number (SSN).

b. Purpose. Evaluation reports will serve as the primary source of information for officer and NCO personnel management decisions and will serve as a guide for the Soldier's performance and development, enhance the accomplishment of the organization's mission, and provide additional information to the rating chain. For additional information see the System of Records Notice(s) A0600–8–104 AHRC, Army Personnel System (APS) (available at https://dpcld.defense.gov/privacy/sornsindex/dod-component-notices/army-article-list/).

c. Routine use. There are no specific routine uses anticipated for these reports; however they may be subject to a number of proper and necessary routine uses identified in the system of records notice(s) specified in paragraph 1–14*b*.

d. Disclosure. Voluntary. However, failure to provide applicable information may result in delayed, erroneous, or failure of processing evaluation reports.

e. Use of personally identifiable information. Completed forms contain PII and require special handling. When issued and in possession, a Department of Defense identification (DoDID) number will be used in lieu of using an SSN.

Chapter 2
The Rating Chain

Section I

Managing the Rating Chain

2–1. Overview

This chapter governs the purpose and development of rating chains based on qualifications and special evaluation report requirements.

2–2. Fundamentals

a. Commanders, commandants, and organization leaders will establish rating chains and publish rating schemes within their units or organizations in accordance with locally developed procedures and ARs. Rating schemes for two-star level commands (or equivalent organizations) and below will be approved by the next higher commander, commandant, or organizational leader. Established rating chains will correspond as nearly as practicable to the chain of command or supervision within a unit or organization, regardless of component or geographical location. Rating schemes will identify the name of the rated Soldier and the effective date for each of the rating officials (date on which the rating official assumed their role as the rating official for the rated Soldier). Rating schemes will be published and made accessible, either manually or electronically, to each rated Soldier and each member of the rating chain. Any changes to a rating scheme will be published and distributed, as required. No changes may be retroactive.

b. Pooling, or elevating the rating chain beyond the senior rater's ability to have adequate knowledge of each Soldier's performance and potential, in order to provide an elevated assessment protection for a specific group, runs counter to the intent of the ERS and is prohibited. Rating schemes created based on pooling erode Soldiers' confidence in the fairness and equitable application of the ERS and in their leaders. Senior raters must evaluate and identify their best Soldiers based on performance and potential, regardless of the particular position they occupy.

2–3. Rating chain information

a. A rating chain is established by the commander, commandant, or leader of an organization and approved by the next higher commander, commandant, or leader of an organization for two-star level commands (or equivalent organizations). Once established and approved, rating chains are maintained by rating officials to provide the best evaluation of an individual Soldier's performance and potential. A rating chain also ties the rated Soldier's performance to a specific senior or subordinate relationship. This allows for proper counseling to develop the rated Soldier and accomplish the mission. These functions are normally best achieved within an organization's chain of command or supervision.

b. In the absence of a comprehensive published unit rating scheme (such as a duty position residing in the Department of Labor, the Department of Homeland Security, and so on, or an organization fails to establish a rating scheme), the support form can serve as a means to notify the individual Soldier of who is serving as their rating officials.

c. Generally, the evaluation of Soldiers by persons not involved in the chain of command or chain of supervision is inappropriate (see paras 2–19, 2–21, 3–46 and G–5).

d. Special rules for designating rating officials are outlined to cover the death, missing status, relief, incapacitation, or suspension of a rating official (see para 2–19).

e. Special rules governing the rating officials for officers under dual supervision; officers serving in the Chaplain's Corps, the Judge Advocate General's Corps (JAGC), or the U.S. Army Medical Department (AMEDD); and professors of military science are addressed in paragraphs 2–21, 2–22, and 2–23.

f. Specific rules by report include the following:

(1) *DA Form 67–10 series rating chains.*

(a) These normally will consist of the rated officer, the rater, the senior rater, and in some instances, a supplementary reviewer. The senior rater will accomplish the final rating chain review. The rating officials must meet specific qualifications (see paras 2–5 through 2–8 and table 2–1).

(b) For specialty branches (Chaplain Corps, JAGC, and AMEDD), dual supervisory situations, and/or situations in which the rater's immediate supervisor would be the logical senior rater, but does not meet senior rater eligibility requirements as outlined in table 2–1 rated officer's rating chain may involve another level of supervision, or dual supervision and assigned different duties by two qualified but separate chains of command or chains of supervision throughout the entire rating period. In these situations, an intermediate rater is designated as a technical expert in the chain of command between the rater and senior rater (see para 2–6).

(c) For USAR troop program unit (TPU), drilling individual mobilization augmentee (DIMA), individual mobilization augmentee (IMA), and drilling Individual Ready Reserve (IRR) officers who conduct required training away from the host unit, the intermediate rater may be the rated officer's supervisor at the training organization.

(d) In some cases, a rated officer's rating chain may have a qualified rating official or supervisor who serves as both rater and senior rater (see para 2–20).

(e) Some cases exist when a supplementary review may be required for evaluations. In these cases, a uniformed Army advisor will be identified and included in the rating chain (see para 2–8*a*(2)).

(2) *DA Form 2166–9 series rating chains.*

(a) These normally will consist of the rated NCO, the rater, the senior rater, and a supplementary reviewer as provided in paragraphs 2–15 through 2–18. The senior rater will accomplish the final rating chain review. The rating officials must meet specific qualifications (see paras 2–5, 2–7, 2–8, and table 2–1).

(b) In some cases, a rated NCO's rating chain may have a qualified rating official or supervisor who serves as both rater and senior rater (see para 2–20).

(c) Some cases exist when a supplementary review may be required for evaluations. In these cases, a uniformed Army advisor will be identified and included in the rating chain (see para 2–8*a*(2)).

(d) In most cases, NCOs will have one chain of command or supervision within a single organization. The NCO rating chains will not include an intermediate rater.

(3) *DA Form 1059 series rating chains.* These rating chains will consist of the authorized rater and a reviewing official as designated by the commandant or appropriate civilian academic authority (see para 2–9).

Section II

Rating Chain Development and Maintenance

2–4. General rules for establishing rating chains

a. The rating chain for a rated Soldier will be established at the beginning of the rating period. This allows the rated Soldier and rating officials to properly execute their roles and responsibilities in the evaluation process. Rating officials must meet grade requirements, as well as time in position, in order to render evaluation reports.

b. Commanders, commandants, and organization leaders are responsible for ensuring valid rating schemes are established. Rating schemes for two-star level commands (or equivalent organizations) and below will be approved by the next higher commander, commandant, or organizational leader.

c. When commanders, commandants, and organization leaders establish rating chains, they will ensure pooling of the rated population does not occur.

d. It is essential that rating officials meet and maintain the required eligibility criteria throughout the rating period. If the rated Soldier's grade changes during the rating period, rating officials must still meet the eligibility requirements in order to be authorized to render an evaluation report on a rated Soldier when one is due. If eligibility criteria are not met, evaluation reports will not be processed at HQDA.

e. When necessary, rating chain exceptions to policy must be requested at the earliest possible date and cannot be implemented until approved by HQDA (for exceptions see para 2–7*a*(8)).

f. Specific requirements for rating officials are addressed in this section and in specified appendixes of this regulation.

g. Commanders, commandants, and organization leaders may use the Evaluation Entry System (EES) Rating Chain Tool to establish and publish rating chains with units and organizations.

2–5. Rules for designating a rater

a. Rater requirements. The rater will be the immediate supervisor of the rated Soldier responsible for directing and assessing the rated Soldier's performance. The rater will normally be senior to the rated Soldier in grade or date of rank. Commanders will normally rate commanders. Civilian raters for OERs and NCOERs will be officially designated on the established rating scheme. For purposes of this regulation, a civilian supervisor/rating official need not be classified as a supervisor under the Office of Personnel Management classification guidance provided they are responsible for directing and assessing the rated Soldier's performance. See paragraph G–3 for USAR-specific exceptions to policy regarding rating schemes and rating officials. The following are rater's requirements, by evaluation report type:

(1) *DA Form 67–10 series.* A rater will be an officer of the U.S. Armed Forces, U.S. Coast Guard, Allied Armed Forces, or an employee of a U.S. Government agency (including nonappropriated fund employee). A civilian rater has no minimum grade requirement. The rater will be the supervisor of the rated officer for a minimum period of 90 calendar days. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days (see apps G and H).

(2) *DA Form 2166–9 series.* A rater will be an officer or NCO of the U.S. Armed Forces, U.S. Coast Guard, Allied Armed Forces, or an employee of a U.S. Government agency (including nonappropriated fund employee). A civilian rater has no minimum grade requirement. The rater will be the supervisor of the rated NCO for a minimum period of 90 calendar days. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days (see apps G and H).

(3) *DA Form 1059 series.* A rater will be the military instructor, facilitator, or civilian course advisor designated by the commandant of the military school or dean of the civilian academic institution that supervises and/or monitors the student's performance and compliance with academic standards.

b. DA Form 67–10 series rater eligibility.

(1) A military rater will be senior to the rated officer by grade or date of rank. An exception is that an officer in a command position may rate an officer over whom they have command authority who is of the same grade and senior by date of rank. In cases when the commander rates an officer of the same grade but senior in date of rank, the rater will attach a copy of the memorandum announcing the assumption of command as an enclosure to the rated officer's OER. (Format and guidance for assumption of command announcements are in AR 600–20.)

(2) A COL serving as a COL-level chief of staff may rate a COL who is senior in date of rank. This does not apply to promotable lieutenant colonels (LTCPs) serving in a chief of staff position or COLs serving as acting chiefs of staff.

(3) In situations such as Joint commands, an officer in a supervisory position may rate an officer who is senior in date of rank provided—

(a) The rater is other than an Army officer.

(b) Each instance is approved, in writing, by the next senior Army member of the command or activity. A copy of the approval will be sent to the appropriate HQDA component as an enclosure to the OER (see app F).

(4) For OERs, a civilian rater has no minimum grade requirement but will be the rated officer's supervisor responsible for directing and assessing the rated Soldier's performance as established on the rating scheme.

(5) Commanders will normally be rated and senior rated by the next higher commander. An exception to this rule is allowed when a staff officer or higher level commander is the logical choice as the commander's supervisor because of functional, geographical, or technical supervision requirements.

(6) Officers who are selected for promotion and who are in authorized positions for the next grade may rate any officer they supervise if, after the rater's promotion, they will be senior to the rated officer.

(7) A rater who has been selected for promotion (that is, whose name is on a promotion list), and who is in an authorized position for the next grade, will be considered to be serving in the next grade. The symbol "P" will be inserted after the current rank on the applicable OER.

(8) A rater who has been selected for promotion (that is, whose name is on a promotion list), but is not in a position authorized for the new grade, will be considered to be serving in the current grade. The symbol "P" will not appear after the current rank on the applicable OER. (See para 2–11 for ARNG-specific requirements.)

(9) Chief warrant officers five (CW5s), assigned as a commandant or deputy commandant, may rate other CW5s serving in instructor and/or departmental positions without regard to date of rank.

c. DA Form 2166–9 series rater eligibility. The military rater will be a SGT or above and senior to the rated NCO by grade or date of rank (see AR 600–20).

(1) NCOs who are selected for promotion and who are in authorized positions for the next grade and/or frocked to one of the top three NCO grades (first sergeant (1SG), SGM, or CSM) may rate any NCO they supervise if, after the rater's promotion, they will be senior in pay grade or date of rank to the rated NCO.

(2) A rater who has been selected for promotion (that is, whose name is on a promotion list), and who is in an authorized position for the next grade, will be considered to be serving in the next grade and may rate any NCO they supervise, if after the promotion they will be senior in pay grade or date of rank to the rated NCO. The symbol "P" will be inserted after the current rank on the applicable NCOER. (See para 2–11 for ARNG-specific requirements.)

(3) A rater who has been selected for promotion (that is, whose name is on a promotion list), but is not in a position authorized for the new grade, will be considered to be serving in the current grade. The symbol "P" will not appear after the current rank on the applicable NCOER.

(4) U.S. Government civilian employees (including nonappropriated fund employees) may serve as raters when there is no immediate military supervisor or when the civilian supervisor is responsible for directing and assessing the rated NCO's performance and in the best position to accurately evaluate the NCO's performance. The civilian rater will be officially designated on the published rating scheme established by the commander, commandant, or organization leader.

(5) SGMs assigned to the chief of senior instructor positions within the resident and nonresident departments of the Sergeants Major Course may rate other SGMs in instructor positions within their specific department without regard to date of rank.

(6) CSMs assigned as Director, Sergeants Major Course or Director, Staff and Faculty who are serving as brigade level CSMs will rate the CSMs assigned as Deputy Director, Sergeants Major Course and Deputy Director, Staff and Faculty who are serving as battalion-level CSMs without regard to date of rank.

(7) ARNG military technicians (MTs) will also be senior in military grade or, if the same grade, senior in date of rank to the rated NCO.

(8) CSMs of table of organization and equipment and table of distribution and allowances (TDA) duty assignment units will be rated by the commander, with the following exceptions, provided rater qualifications are met:

(a) Military community or garrison CSMs may be rated by a deputy community commander or deputy garrison commander.

(b) The assistant division commander or the division or installation CSM may rate the Regular Army CSMs who are commandants of NCO academies.

(c) For ARNG, the Chief, NGB will determine the rating chain for ARNG NCO academy commandants (see para H–7) and state CSMs.

(d) The CG, U.S. Army Reserve Command (USARC) will determine the rating chain for USAR NCO Academy CSMs who are commandants.

d. Academic evaluation report rater eligibility. The rater will normally be senior to the rated Soldier by grade or date of rank. Additional instructions are as follows:

(1) A military or a DoD Civilian employee academic rater is designated by the commandant and is the person who directly oversees and is most responsible for directing and observing the Soldier's progress through a military course of instruction that requires a DA Form 1059 and DA Form 1059–2.

(2) A civilian academic rater is the civilian official designated by the dean or appropriate civilian authority most responsible for directing and observing the Soldier's progress through a civilian course of instruction that requires a DA Form 1059–1.

e. Specialty branch evaluation reports. For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E. Appendix E does not apply to ARNG Soldiers.

2–6. Rules for designating an intermediate rater (DA Form 67–10 series only)

This paragraph does not apply to DA Form 2166–9 series (NCOER) and DA Form 1059 series (AER). An intermediate rater is only authorized for use by specialty branches (Chaplain Corps, JAGC, and AMEDD) when there is a level of technical supervision between the rater and senior rater, and/or in dual supervisory situations, and/or in instances when the rater's immediate supervisor is the logical senior rater, but does not meet senior rater eligibility requirements as prescribed within table 2–1. Other unique circumstances require a request for an exception to policy. Written requests for an exception to policy, endorsed by the first commanding general officer (or equivalent) in the organization, will be submitted to the appropriate HQDA component in accordance with the guidance contained in paragraph 2–6*c*. An intermediate rater will not be added as a rating official to the rating chain in order to elevate the rating chain (in other words, pooling).

a. An intermediate rater will be an officer of the U.S. Armed Forces, U.S. Coast Guard, or Allied Armed Forces, or an employee of a U.S. Government agency (including nonappropriated fund employees). In addition, the intermediate rater will—

(1) Be senior to the rated officer in grade or date of rank. A civilian intermediate rater has no minimum grade requirement but will be officially designated on the established rating scheme.

(2) Be a supervisor between the rater and senior rater in the rated officer's rating chain, unless the rated officer is serving under dual supervision. The use of the intermediate rater is intended to maintain the link between the rater and senior rater in situations where there is a level of supervision between them. Rating chains having no supervisor between the rater and senior rater will not have an intermediate rater.

(3) Be the rater's immediate supervisor and may be any supervisor between the rater and senior rater in the rated officer's chain of command. This rule is waived when the provisions of paragraph 2–21 or appendixes C, D, or E apply. In cases of dual supervision, the designated intermediate rater, if from a nonparent unit, may be senior to the senior rater (see para 2–21).

(4) Have served in that capacity for a minimum of 60 calendar days in order to evaluate the rated officer. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating period will be 90 calendar days (see apps G and H).

b. For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E. Appendix E does not apply to ARNG Soldiers.

c. Requests for an exception to policy will be endorsed by the first general officer (or equivalent) within an organization and submitted to HRC (AHRC–PDV–E) at the beginning of the rating period, or at the earliest possible date upon discovering that the official will need to serve as an intermediate rater. Requests must be submitted in memorandum format and include the rated officer's full name, DoDID number, the period during which the official will serve as the intermediate rater, the effective date, and the justification for them to serve as an intermediate rater (see app F). Upon approval, the provisions outlined in paragraph 2–6*a* apply. A copy of the HRC-approved exception to policy memorandum will be submitted to the appropriate HQDA component as an enclosure to the completed OER.

2–7. Rules for designating a senior rater

The following are senior rater requirements and eligibility by evaluation report:

a. DA Form 67–10 series.

(1) Except as otherwise provided in paragraphs 2–7*a*(5) through 2–7*a*(7), a senior rater will be a commissioned officer of the U.S. Armed Forces, U.S. Coast Guard, or a DoD Civilian employee (including nonappropriated fund employees). Members of Allied Armed Forces are not authorized to be senior raters.

(2) The minimum grade for a senior rater will be in accordance with table 2–1. A civilian senior rater will be a designated supervisor of the rated officer serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in table 2–1. For purposes of this regulation, a civilian supervisor/rating official need not be classified as a supervisor under the Office of Personnel Management classification guidance provided they are responsible for directing and assessing the rated Soldier's performance. See exceptions for AMEDD officers in appendix E.

(3) The senior rater will be the immediate supervisor of the rater and a supervisor above all other rating officials in the rated officer's chain of command or chain of supervision, except as indicated in paragraph 2–6 and 2–7*a*(13). To render a written OER, the senior rater must have been designated as the rated officer's senior rater for a minimum period of 60 calendar days, except as otherwise provided in this paragraph. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the senior rater must have served in that capacity for a minimum of 90 calendar days (see apps G and H).

(4) Senior executive service (SES) members, as defined in 5 USC 3132 and serving in DoD positions, may senior rate all grades of rated officers, provided they are in the rated officer's chain of supervision and are at least one level above the rater or intermediate rater of the rated officer. See paragraph 2–8*a*(2) and section IV of this chapter regarding supplementary review requirements. DA Pam 623–3 provides procedural guidance on OER administrative data.

(5) Members of Congress may senior rate all grades of rated officers serving as fellows or military liaisons on the member's personal staff. Normally, the member's civilian chief of staff, or another individual on the member's staff who supervises the day-to-day duties of the rated officer, will serve as the rater (or intermediate rater) when the member of Congress is the senior rater.

(6) Ambassadors may senior rate all grades of officers serving at U.S. consulates under an ambassador's authority.

(7) Under unique circumstances, requests for other U.S. Government officials (for example, political appointees) to serve as senior raters may be granted as an exception to policy. Written requests for an exception to policy will be submitted to the appropriate HQDA component in accordance with the guidance contained in paragraph 2–7*a*(8). See

paragraph 2–8*a*(2) and section IV of this chapter regarding supplementary review requirements. DA Pam 623–3 provides procedural guidance on OER administrative data.

(8) Requests for exception to policy will be submitted to HRC (AHRC–PDV–E) at the beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the senior rater. Written requests will be in memorandum format on letterhead stationery and will indicate the rated officer's rank and full name, DoDID number, the period during which the U.S. Government official will serve as the senior rater, the effective date, and the justification for them to serve as senior rater (see app F). A copy of the HRC-approved exception to policy memorandum will be submitted to the appropriate HQDA component as an enclosure to the completed OER.

(9) Senior raters may evaluate the rated officer with fewer than 60 days as a senior rater if they also served as the rated officer's intermediate rater in a previously published chain, and the combined total of time served in the rating chain equals 60 days or more. For other exceptions to this policy, see chapter 3, sections VIII and IX.

(10) A senior rater who has been selected for promotion and who is in an authorized position for the next grade will be considered to be serving in the next grade. The symbol "P" will be inserted after their current rank on the applicable OER. (See para 2–11 for ARNG-specific requirements.)

(11) A senior rater who has been selected for promotion but who is not in a position authorized for the next grade will be considered to be serving in their current grade. The symbol "P" will not appear after the current rank on the applicable OER.

(12) Senior raters will meet the minimum grade requirements listed in table 2–1.

(13) Senior raters will be senior in grade or date of rank to the rater and the intermediate rater. Exceptions to this rule may apply if—

(a) The senior rater is authorized by paragraph 2–5*b*(1) to rate the other members of the rating chain.

(b) The senior rater is a COL serving in a COL-level chief of staff position and is, therefore, authorized to senior rate the rated Soldiers of the personnel they rate. This authority does not apply to a COL serving as the acting chief of staff.

(c) The senior rater is a BG serving in a BG-level chief of staff position and is, therefore, authorized to senior rate the rated Soldiers of the personnel they rate. This authority does not apply to a BG serving as the acting chief of staff.

(d) A senior rater need not be senior in grade or date of rank to a designated intermediate rater from a nonparent unit when dual supervision exists.

(14) To senior rate officers in the ranks of WO1 through chief warrant officer four (CW4) and 2LT/1LT:

(a) Military senior raters will be will be at least a promotable captain (CPTP) or major (MAJ), meeting the requirements of table 2–1.

(b) Civilian senior rater supervisors will be at least general schedule (GS)-13, or equivalent, to senior rate officers in the ranks of WO1 through CW4 and 2LT/1LT.

(15) To senior rate officers in the ranks of CW4P and CW5:

(a) Military senior raters will be at least a promotable major (MAJP) or lieutenant colonel (LTC), meeting the requirements of table 2–1.

(b) Civilian senior rater supervisors will be at least GS–13, or equivalent, to senior rate officers in the ranks of CW4P and CW5.

(16) To senior rate officers in the ranks of 1LTP through MAJ:

(a) Military senior raters will be at least two grades higher than the rated officer.

(b) Civilian senior rater supervisors will be at least GS–13, or equivalent, to senior rate officers in the ranks of 1LTP through MAJ.

(17) To senior rate officers in the ranks of MAJP or LTC:

(a) Military senior raters will be at least one grade higher than the rated officer.

(b) Civilian senior rater supervisors will be at least GS–15 or equivalent to senior rate officers in the ranks of MAJP or LTC.

(18) To senior rate officers in the ranks of LTCP or COL:

(a) Military senior raters will be at least one grade higher than the rated officer.

(b) Civilian senior raters will be at least SES rank and precedence or equivalent to senior rate officers in the ranks of LTCP through BG.

(19) To senior rate officers in the rank of promotable colonel (COLP) or BG, the senior rater will be senior in grade or date of rank to the other members of the rating chain.

b. DA Form 2166–9 series.

(1) Except as otherwise provided in paragraphs 2–7*a*(5) through 2–7*a*(7), a senior rater will be an officer or NCO of the U.S. Armed Forces, U.S Coast Guard, or a DoD Civilian (or nonappropriated fund employee). Members of

Allied Armed Forces are not authorized to be senior raters. Exceptions for U.S. Army Sergeants Major Academy (USASMA) are outlined in paragraph 2–7*b*(16).

(2) The minimum grade for a senior rater will be in accordance with table 2–1. A civilian senior rater will be a designated supervisor of the rated NCO serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in table 2–1. For purposes of this regulation, a civilian supervisor/rating official need not be classified as a supervisor under the Office of Personnel Management classification guidance provided they are responsible for directing and assessing the rated Soldier's performance.

(3) The senior rater will be the immediate supervisor of the rater. To render a written NCOER, the senior rater must have been designated as the rated NCO's senior rater for a minimum period of 60 calendar days, except as otherwise provided in this paragraph (see chap 3, secs VIII and IX). For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the senior rater must have served in that capacity for a minimum of 90 calendar days (see apps G and H).

(4) SES members, as defined in 5 USC 3132 and serving in DoD positions, may senior rate all grades of rated NCOs, provided they are in the rated NCO's chain of supervision and are at least one level above the rater. See paragraph 2–8*a*(2) and section IV of this chapter regarding supplementary review requirements. DA Pam 623–3 provides procedural guidance on NCOER administrative data.

(5) Ambassadors may senior rate all grades of NCOs serving at U.S. consulates under an ambassador's authority.

(6) Under unique circumstances, requests for other U.S. Government officials (for example, political appointees) to serve as senior raters may be granted as an exception to policy. Written requests for an exception to policy will be submitted to the appropriate HQDA component in accordance with the guidance contained in paragraph 2–7*b*(7). See paragraph 2–8*a*(2) and section IV of this chapter regarding supplementary review requirements. DA Pam 623–3 provides procedural guidance on NCOER administrative data.

(7) Requests for exception to policy will be submitted to HRC (AHRC–PDV–E) at the beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the senior rater (see app F). Written requests will be in memorandum format on letterhead stationery and will indicate the rated NCO's rank and full name, DoDID number, the period during which the U.S. Government official will serve as the senior rater, the effective date, and the justification for them to serve as senior rater. A copy of the HRC-approved exception to policy memorandum will be submitted to the appropriate HQDA component as an enclosure to the completed NCOER.

(8) Senior raters may evaluate the rated NCO with fewer than 60 days as a senior rater if they also served as the rated NCO's rater in a previously published chain, and the combined total of time served in the rating chain equals 60 days or more. For other exceptions to this policy, see chapter 3, sections VIII and IX.

(9) A senior rater who has been selected for promotion (that is, whose name is on a promotion list) and who is in an authorized position for the next grade will be considered to be serving in the next grade. The symbol "P" will be inserted after their current rank on the applicable NCOER. (See para 2–11 for ARNG-specific requirements.)

(10) A senior rater who has been selected for promotion (that is, whose name is on a promotion list) but who is not in a position authorized for the next grade will be considered to be serving in their current grade. The symbol "P" will not appear next to their current rank on the applicable NCOER.

(11) Senior raters will meet the minimum grade requirements of table 2–1.

(12) Senior raters will be senior in grade or date of rank to the rater. Exceptions to this rule may apply if:

(a) The senior rater is authorized by paragraph 2–5*b*(1) to rate the other members of the rating chain.

(b) The senior rater is a COL serving in a COL-level chief of staff position and is, therefore, authorized to senior rate the rated Soldiers of the personnel they rate. This authority does not apply to a COL serving as the acting chief of staff.

(c) The senior rater is a BG serving in a BG-level chief of staff position and is, therefore, authorized to senior rate the rated Soldiers of the personnel they rate. This authority does not apply to a BG serving as the acting chief of staff.

(13) To senior rate NCOs in the ranks of SGT or promotable sergeant (SGTP), military senior raters will be at least the rank of sergeant first class (SFC) or above. An exception exists which allows for staff sergeant promotable (SSGP) serving in an authorized position for the next grade to senior rate.

(14) To senior rate NCOs in the ranks of staff sergeant (SSG) or SSGP, military senior raters will be at least the rank of master sergeant (MSG) or above. An exception exists which allows for sergeant first class promotable (SFCP) serving in an authorized position for the next grade to senior rate.

(15) To senior rate NCOs in the ranks of SFC or SFCP, military senior raters will be at least the rank of SGM or above.

(16) To senior rate NCOs in the ranks of MSG through CSM, military senior raters will be senior in grade or date of rank to the other members of the rating chain. Exceptions to this rule apply for NCOs assigned to the USASMA. CSMs serving at USASMA as the Director, Sergeants Major Course or Director, Staff and Faculty are not required to

be senior in date of rank to the CSMs assigned as their respective deputies in order to serve as a senior rater for an NCO that their respective deputy rates. The director positions are considered BDE CSM positions (TDA remarks code 7C), while the deputy directors are considered BN CSM positions (TDA remarks code 6C).

c. Civilian employees. DoD Civilian employees in the grade of GS–09 or equivalent and above may serve as senior raters when there is no immediate military supervisor and when the civilian supervisor is responsible for directing and assessing the rater's performance, as established on the rating scheme, and is in the best position to accurately evaluate the rated NCO. The uniqueness of other civilian pay scales precludes the establishment of a general Armywide policy. Therefore, the minimum grade for civilian senior raters holding other than GS pay grades is determined by local commanders. The civilian senior rater will be officially designated on the published rating scheme established by the local commander.

Table 2–1
Minimum grade requirements for senior raters on DA Form 67–10 series and DA Form 2166–9 series

Rank of rated officer/NCO	Minimum rank or grade of military senior rater	Minimum grade/schedule and pay grades of civilian supervisor senior rater (merit/GS pay grade)
SGT/SGTP	E–7 (SFC)/SSGP	GS–9 or equivalent
SSG/SSGP	E–8 (MSG)/SFCP	GS–9 or equivalent
SFC/SFCP	E–9 (SGM)	GS–9 or equivalent
MSG/master sergeant promotable (MSGP)/1SG/1SGP/SGM/CSM	Senior to the rater	GS–9 or equivalent
WO1 through CW4	O–4 MAJ/Maj/(CPTP)	GS–13 or equivalent
CW4P/CW5	O–5 LTC/LtCol/Lt Col/MAJP	GS–13 or equivalent
2LT/1LT	O–4 MAJ/Maj/(CPTP)	GS–13 or equivalent
1LTP/CPT	O–5 LTC/LtCol/Lt Col/MAJP	GS–13 or equivalent
CPTP/MAJ	O–6 COL/Col/LTCP	GS–13 or equivalent
MAJP/LTC	O–6 COL/LTCP	GS–15 or equivalent
LTCP/COL	O–7 BG/BGen/Brig Gen/(COLP)	SES (see paras 2-7*a*(4) and 2-7*a*(18)(b))
COLP/BG	Senior to the rater and intermediate rater	Senior to the rater and intermediate rater

Notes:

[1] A promotable officer or NCO (signified on the OER and NCOER by placing a "P" after the current rank) is one who is on a promotion list (or selected for attendance to USASMA) and is currently serving in a position authorized for the next higher rank or grade. (See para 2–11 for ARNG-specific requirements.)

[2] Civilian raters must be officially designated on the published rating scheme established by the local commander and meet the minimum grade requirements indicated. The uniqueness of the other civilian pay scales precludes the establishment of a general Armywide policy. Therefore, the minimum grade for civilian senior raters holding other than GS pay grades is determined by local commanders.

[3] As an exception to this rule, senior Army advisors, ARNG, are rated by the associated state/territory adjutant general (AG) and senior rated by the assigned First Army Division Commander (Division East or Division West), regardless of the relative dates of rank of the rating officials.

[4] Other exceptions to this rule apply as indicated in paragraphs 2-7a(13)(b) and 2-7b(16), and for AMEDD COLs as specified in appendix E.

[5] For supplementary review requirements, see paragraph 2-8a(2).

[6] United States Navy (USN) senior rater rank equivalents are: O–4, lieutenant commander; O5, commander; O–6, captain; O–7, rear admiral (lower half-BG equivalent); and O–8, rear admiral (upper half major general (MG) equivalent). Admirals, who are equivalent to general officers, are referred to as flag officers.

Legend
Maj = major (used by Marine Corps and United States Air Force (USAF))
LtCol = lieutenant colonel (used by Marine Corps)
Lt Col = lieutenant colonel (used by USAF)
Col = colonel (used by Marine Corps and USAF)
BGen = brigadier general (used by Marine Corps)
Brig Gen = brigadier general (used by USAF)

2–8. Rules for designating a supplementary reviewer (DA Form 67–10 series and DA Form 2166–9 series)

a. DA Form 67–10 series.

(1) *Supplementary reviewer eligibility and responsibility.* In most instances, the senior rater will conduct the final rating chain review; other mandatory reviews are discussed in paragraphs 2–16 and 2–17.

(2) *Supplementary review requirement.* In instances when there are no uniformed Army designated rating officials for the rated officer, an Army officer within the organization will be designated as a uniformed Army advisor and perform a supplementary review. The uniformed Army advisor will be a U.S. Army officer, senior to the rated officer and normally senior to the senior rater, within the organization. The uniformed Army advisor will monitor evaluation practices, and provide assistance and advice to rating officials (as required) on matters pertaining to Army evaluations. The uniformed Army advisor will be designated by the commander establishing the rating chain and identified in the published rating scheme at the beginning of the evaluation period.

(a) When a supplementary review is required for DA Form 67–10–1, DA Form 67–10–2, or DA Form 67–10–3, the uniformed Army advisor's information will be entered in part II, blocks f1 and f2, of the OER. If the uniformed Army advisor determines the OER is accurate and comments are unnecessary, they will select "No" in part II, block f5, of the OER. If the uniformed Army advisor determines comments are necessary, they will select "Yes" in part II, block f5, of the OER, prepare an enclosure to the OER, and comment on the accuracy and clarity of the completed OER (see fig 2–1). The comments will not include evaluative statements about the rated officer or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain.

(b) When a supplementary review is required for DA Form 67–10–4, the uniformed Army advisor will prepare an enclosure to the OER (see fig 2–1). If necessary, the reviewer will comment upon the accuracy and clarity of the completed OER. The comments will not include evaluative statements about the rated officer or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain. If there are no comments, the uniformed Army advisor will indicate in the enclosure that no added comments are necessary.

(c) If no Army officer is available above the senior rater in the organization or chain of supervision to perform a review, the submitter will request a review by HRC (AHRC–PDV–ER) (see fig 2–2).

(3) *Special branch evaluation reports.* For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E. Appendix E does not apply to ARNG Soldiers.

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR *(Rated Soldier's Name, Rank, DODID#, Report Period Covered)*

SUBJECT: Supplementary (enter OER, NCOER or AER as appropriate) Review as required by AR 623-3, paragraph 2-16c

1. As required by AR 623-3, Evaluation Reporting System, an additional review of the referenced *(enter OER, NCOER or AER as appropriate)* was made by me, using paragraph 2-16c as the principal source of guidance.

- FOR OERs and NCOERs-

2. As a result of my review, I submit the following comments:

- FOR AERs- (Reviewer selects one of two options below)

2. The AER is complete and correct as written and requires no further comment from me.

--OR—

2. As a result of my review, I submit the following comments:

(Signature block of the reviewer)

Note: The electronic DA Form 67-10 series OER and DA Form 2166-9 series NCOER in the Evaluation Entry System application has a pre-prepared format for a Supplementary Review memorandum as an enclosure to the basic form instead of preparing a separate memorandum. If used instead of a separate memorandum, the format will be completed and digitally signed, then submitted as an enclosure to the completed evaluation (OER or NCOER as appropriate).

Figure 2–1. Sample format for a supplementary review memorandum

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR U.S. Army Human Resources Command (AHRC-PDV-ER), 1600 Spearhead Division Avenue, Department #470, Fort Knox, KY 40122-5407

SUBJECT: Request for HQDA Supplementary of *(Officer Evaluation Report* ***or*** *Non Commissioned Officer Evaluation report)* for *(Rated Soldier's Name, Rank, DODID#, Report Period Covered)*

1. In accordance with AR 623-3, Evaluation Reporting System, paragraph 2-8, a supplementary review by a U.S. Army officer is required.

2. I request that HQDA conduct this required review as there is no U.S. Army officer above me in my organization or chain of supervision.

3. Point of contact for this request is the undersigned at *(telephone number)* or *(email address)*.

(Signature block of the senior rater)

Figure 2–2. Sample format for a Headquarters, Department of the Army supplementary review request memorandum

b. DA Form 2166–9 series.

(1) *Reviewer eligibility and responsibility.* In instances when a rated NCO's rating chain includes SGM/CSM, chief warrant officer three (CW3) through CW5 or an Army officer in the rank of CPT or above as the senior rater, the senior rater will conduct the final rating chain review; exceptions and other mandatory reviews are discussed in paragraphs 2–8*b*(2), 2–16, and 2–17.

(2) *Supplementary review requirement.*

(a) A mandatory supplementary review is required for NCOERs when a senior rater within the rated NCOs rating chain includes an NCO in the rank of SFC through 1SG/MSG, warrant officer in the rank of WO1 through CW2, and Army officer in the rank of 2LT and 1LT. This supplementary review will be performed by a uniformed Army Soldier, senior to the senior rater within the rated NCO's organization in the rank of SGM/CSM, CW3 through CW5, or CPT and above. This Army Soldier will be designated as a uniformed Army advisor. The uniformed Army advisor will monitor evaluation practices and provide assistance and advice needed to rating officials (as required) on matters pertaining to Army evaluations. The uniformed Army advisor will be identified on the published rating scheme at the beginning of the evaluation period by the commander establishing the rating chain.

(b) Mandatory supplementary reviews are also required when no uniformed Army designated rating officials exist in the rating chain. This also includes when the senior rater is other than a uniformed Army Soldier and a rater is an NCO in the rank of SGT through 1SG/MSG, warrant officer in the rank of WO1 through CW2, and Army officer in the rank of 2LT and 1LT. This supplementary review will be performed by a uniformed Army Soldier, senior to the senior rater within the rated NCO's organization in the rank of CSM/SGM, CW3 through CW5, or CPT and above. This Army Soldier will be designated as a uniformed Army advisor. The uniformed Army advisor will monitor evaluation practices and provide assistance and advice needed to rating officials (as required) on matters pertaining to Army evaluations. The uniformed Army advisor will be identified on the published rating scheme at the beginning of the evaluation period by the commander establishing the rating chain.

(c) As an exception to requirements outlined in paragraphs 2–8*b*(2)(*a*) and 2–8*b*(2)(*b*), CSMs serving at the USASMA as Director, Sergeants Major Course or Director, Staff and Faculty may perform supplementary reviews for any NCO that their Deputy Director senior rates, without regard to date of rank. Additionally, the Commandant and Deputy Commandant at USASMA, both nominative CSMs (TDA remarks code 8C), may serve as supplementary reviewer on any NCOER for which the Director, Sergeants Major Course or Director, Staff and Faculty serves as senior rater.

(d) When a supplementary review is required for DA Form 2166–9 series (NCOER), the uniformed Army advisor's information will be entered in part II, blocks c2, c3, and c7, of the NCOER. If the uniformed Army advisor determines the NCOER is accurate and comments are unnecessary they will select "No" in part II, block c4, of the NCOER. If the uniformed Army advisor determines comments are necessary, they will select "Yes" in part II, block c4, of the NCOER, prepare an enclosure to the NCOER, and comment on the accuracy and clarity of the completed NCOER (see fig 2–1). Comments provided will not include evaluative statements about the rated NCO or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain.

(e) If no uniformed Army advisor is available in the organization or chain of supervision to perform a review, the submitter will request a review by HRC (AHRC–PDV–ER) (see fig 2–2).

(f) No minimum time period is required for reviewer qualification.

(g) The senior NCO (that is, CSM, SGM, or 1SG) within the organization should conduct an undocumented review of every NCOER to ensure accountability of Soldiers' NCOERs and to supervise performance of junior NCOs (see para 2–18).

2–9. Rules for designating a reviewing official for academic evaluation reports

The reviewing official is the authorized individual responsible for ensuring the accuracy of the AER prepared by the academic rater and/or academic advisor.

a. The reviewing official for DA Form 1059 and DA Form 1059–2 will be the commandant, academic dean, or an official designated above the academic rater.

b. HRC, Advanced Education Programs Branch (AHRC–OPL–C) is the reviewer for DA Form 1059–1 for all programs under AR 621–1 and AR 621–7.

c. HRC, Advanced Education Programs Branch or AMEDD Student Detachment (as applicable) will be the administrative reviewer on all DA Form 1059–1 reason for submission selections of "Initial Report" for Soldiers starting a long-term education program extending 24 months or more. See paragraph 3–16 and DA Pam 623–3 for details.

Section III

Roles and Responsibilities of Rating Chain Members

2–10. The rated Soldier

a. The rated Soldier is the subject of the evaluation and has considerable responsibility in the evaluation process.

(1) Normally, to be eligible for an OER or NCOER, a Soldier will complete 90 calendar days in the same position under the same rater. Nonrated periods are not included in this 90-day period (see DA Pam 623–3). For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating period is 120 calendar days (see apps G and H).

(2) Newly commissioned officers (Regular Army and ARNG) and newly appointed warrant officers will not be eligible to receive OERs, except for "Relief for Cause" reports, until after the completion of the respective officer basic course (either Basic Officer Leaders Course (BOLC) or Warrant Officer Basic Course (WOBC)). Units will begin the rating period upon arrival at the first duty station or assignment after completion of BOLC or WOBC. The officer's first annual ("Extended Annual") OER will be due 12 rated months after arrival at the first duty assignment (see paras 3–35, 3–42, and 3–43) unless another event (for example, "Change of Rater" or "Change of Duty") occurs.

The "From" date in the period covered will be the commissioning or appointment date. See paragraph E–2 for AMEDD officers and paragraph G–5*m* for guidance on OER eligibility for newly commissioned USAR officers and newly appointed USAR warrant officers.

(3) Newly accessed active duty Soldiers from another Service or component will receive evaluation reports when they are eligible to receive them. The "From" date in the period covered will be the date of accession on active duty.

b. The rated Soldier will—

(1) Perform each assigned or implied duty to the best of their ability, always trying to improve on the accomplishment of the organization's mission. Rated Soldiers will periodically evaluate their own performance and, when in doubt, seek the advice of the rating officials in the rating chain.

(2) Participate in counseling and discuss with the rating chain the duty description, performance objectives (including objectives for fostering a climate of dignity and respect and preventing and eliminating sexual assault and sexual harassment in their units), academic standards, and/or course requirements, as appropriate. This counseling will occur within 30 days after the beginning of each new rating period and at least quarterly thereafter.

(3) Assess (with the rater) the validity of the objectives or compliance with academic standards throughout the rating period. This may result in having to revise and update both objectives and duty description as the situation changes. The rated Soldier may also have to develop new objectives with the rater.

(4) Describe (with the rater) duties, objectives, and significant contributions (as applicable) on evaluation support forms. Assessment will be conducted with the rating chain throughout and at the end of the rating period. Rated Soldiers have the opportunity to express their own views during the assessment to ensure that they are clear, concise, and accurate. Changes to support form entries are allowed when the rated Soldier agrees with the changes.

(5) Review and sign the evaluation report after it has been completed by the senior rater before departing from a unit of assignment or military or civilian school of instruction. The rated Soldier's signature verifies that administrative data, including DoDID number, rating chain, counseling dates, APFT, and height and weight entries on the evaluation report are correct and confirms that the rated Soldier has seen the completed evaluation report.

(6) The digitally signed evaluation report will serve as the Soldier's copy. If the rated Soldier manually signs a paper copy, is unavailable to sign, or refuses to sign an evaluation report, an electronic or paper copy will be provided to them. See paragraph 3–23 for classified report restrictions.

(7) For referred OERs, the rated officer is responsible for acknowledging the senior rater's referral of the OER, signing the completed OER, and providing comments regarding the OER by the reasonable suspense date set by the senior rater. The referral may be made in person, by a certified letter, or by an automated routing of the OER (see paras 3–27 through 3–29 and DA Pam 623–3).

2–11. The rated Soldier and rating officials selected for promotion

This paragraph addresses the use of the "P" rank designation on OERs and NCOERs.

a. DA Form 67–10 series.

(1) If a rated officer or rating official has been selected for promotion (that is, whose name is on a promotion list) and is in an authorized position for the next higher rank or grade, they will be considered to be serving at the next higher rank or grade when establishing the rating chain. The designation "P" will be entered after the officer's current rank on the OER, part I, block c, only if both criteria are met (see DA Pam 623–3). The rules and requirements for the next higher rank or grade will apply. The ranks entered on the OER will be as of the "Thru" date of the OER. Ensure the appropriate DA Form 67–10 series (OER) is used when a rated officer is eligible for use of the "P" identifier in part I, block c. Evaluation reports generated on an incorrect form due to improper use of the "P" identifier are considered as invalid evaluation reports.

(2) If a rated officer has been selected for promotion but is not in an authorized position for the next grade, the rules and requirements for the current grade will apply when determining the rating chain. The designation "P" will not be entered after the officer's current rank on the OER (see DA Pam 623–3).

(3) For ARNG officers, the following criteria must be met for authorized use of the "P" rank designation on OERs:

(a) The officer must be assigned in the higher graded position.

(b) The officer must have state promotion orders issued.

(c) The officer must have a packet uploaded into the eTracker of the personnel division system and be accepted/approved for scrolling.

(d) This applies to all AGR and man-day (M–DAY) ARNG officers.

b. DA Form 2166–9 series.

(1) If a rated NCO or rating official has been selected for promotion (that is, whose name is on a promotion list) or attendance to USASMA, and is in an authorized position for the next higher rank or grade, they will be considered to be serving at the next higher rank or grade when establishing the rating chain. The designation "P" will be entered

after the NCO's current rank on the NCOER, part I, block c, only if both criteria are met; that is, promotable/selected for attendance to USASMA and serving in the position for the next higher grade (see DA Pam 623–3). The rules and requirements for the next higher rank or grade will apply. The ranks entered on the NCOER will be as of the "Thru" date of the NCOER.

(2) Ensure the appropriate DA Form 2166–9 series (NCOER) form is used when a rated NCO is eligible for use of the "P" identifier in part I, block c. For example, when a MSGP is assigned to an authorized position and performing the duties as a SGM, then a DA Form 2166–9–3 NCOER will be used. Evaluation reports generated on an incorrect form due to improper use of the "P" identifier are considered as invalid evaluation reports.

(3) For SGTs, regardless of a "P" identifier, DA Form 2166–9–1 will always be used.

(4) For ARNG NCOs, the "P" identifier in part I, block c, for the rated NCO is not applicable.

2–12. Rater

The rater will—

a. Provide a copy of their support form, along with the senior rater's support form, to the rated Soldier receiving an OER or NCOER at the beginning of the rating period (does not apply to students receiving an AER).

b. Discuss the scope of the rated Soldier's duty description with them within 30 days after the beginning of the rating period. This counseling will include, as a minimum, the rated Soldier's duty description and the performance objectives to attain. The discussion will also include the relationship of the duty description and objectives with the organization's mission, problems, priorities, and similar matters.

c. Counsel the rated Soldier.

(1) If the rated Soldier is recently assigned to the organization, the rater may use the counseling to outline a duty description and performance objectives. This discussion gives the rated Soldier a guide for performance while learning new duties and responsibilities in the unit of assignment, or requirements in achieving military or civilian academic standards.

(2) If the rater is recently assigned, this first counseling may be used to ask the rated Soldier for an opinion of the duty description and objectives. By doing this, the rater is given a quick assessment of the rated Soldier and the work situation. It will also help the rater develop the best duty description and performance objectives for the rated Soldier.

(3) See paragraph G–2 for counseling requirements for USAR Soldiers.

d. Use the support forms.

(1) For officers, grades WO1 through COL, DA Form 67–10–1A is mandatory for use throughout the rating period.

(2) For NCOs, DA Form 2166–9–1A will be used to document the required initial and quarterly NCO counseling, professional development throughout the rating period, and to prepare the final evaluation.

e. Advise the rated Soldier about any changes in their duty description and performance objectives, when needed, during the rating period.

f. Provide an accurate assessment of the rated Soldier's performance and potential (as applicable), using all reasonable means, including personal contact, records and reports, and the information provided by them on the applicable support form or associated counseling documents.

g. Review the applicable support form and counseling documents at the end of the rating period and, as appropriate, provide more information about the job description or performance objectives to other rating officials for use in preparing their portions of the evaluation report.

h. Verify the rated Soldier's APFT results, if taken, and height/weight data (including compliance with AR 600–9) for entry on the evaluation report (OER, part IV, block a; NCOER, part IV, blocks a and b; and AER, part II, blocks b and c). The rater must provide comments for an APFT failure, a "No" entry annotated after height and weight indicating noncompliance with AR 600–9, or the absence of APFT and/or height and weight data (refer to DA Pam 623–3).

i. Provide an objective and comprehensive evaluation of the rated Soldier's performance and potential, as applicable, on the evaluation report.

j. Assess the rated Soldier's performance in fostering a climate of dignity and respect and adhering to the requirements of the Sexual Harassment/Assault Response and Prevention (SHARP) Program. This assessment should identify, as appropriate, any significant actions or contributions the rated officer or NCO made toward:

(1) Promoting the personal and professional development of subordinates.

(2) Ensuring the fair, respectful treatment of unit personnel.

(3) Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.

(4) This assessment should also identify any failures by the rated Soldier to foster a climate of dignity and respect and adhere to the SHARP Program.

(5) Raters will include this information in the following locations: for DA Form 67–10–1, part IV, block c1 (Character); for DA Form 67–10–2, part IV, block d1 (Character); for DA Form 67–10–3, part IV, block c1 (Character); for DA Form 2166–9 series (NCOER), part IV, block c; for DA Form 1059 series (AER), raters will check "Yes" or "No" in part II, block a.

k. Document any substantiated finding in a finalized Army or DoD investigation or inquiry that the rated Soldier—

(1) Committed an act of sexual harassment or sexual assault;

(2) Failed to report a sexual harassment or sexual assault;

(3) Failed to respond to a complaint or report of sexual harassment or sexual assault; or

(4) Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

(5) Raters will include this information in the following locations: for DA Form 67–10–1, part IV, block c1 (Character); for DA Form 67–10–2, part IV, block d1 (Character); for DA Form 67–10–3, part IV, block c1 (Character); for DA Form 2166–9 series (NCOER), part IV, block c; for DA Form 1059 series (AER), raters will check "Yes" or "No" in part II, block a.

2–13. The intermediate rater (DA Form 67–10 series)

The provisions of this paragraph do not apply to NCOERs or AERs. An intermediate rater is only authorized for use by specialty branches (Chaplain Corps, JAGC, and AMEDD) when there is a level of technical supervision between the rater and senior rater, and/or in dual supervisory situations, and/or in unique instances when the rater's immediate supervisor would be the logical senior rater, but does not meet senior rater eligibility requirements as prescribed within table 2–1. For exceptions, see paragraph 2–6.

a. Intermediate raters will assess the performance and potential of rated officers using all reasonable means, including the following:

(1) Personal contact.

(2) Records and reports.

(3) The rater's evaluation of the rated officer given on the OER.

(4) The information provided by the rated officer on DA Form 67–10–1A.

b. Intermediate raters will render an objective evaluation of a rated officer's performance and potential on the OER.

c. An intermediate rater will not be incorporated within the rating chain as a means to elevate the rating chain (in other words, promote pooling).

2–14. Senior rater (DA Form 67–10 series and DA Form 2166–9 series) or reviewing official (DA Form 1059 series)

a. Role. Senior raters or reviewing officials use their positions and experiences to evaluate the rated Soldier's performance and/or potential within a broad organizational perspective, military program of instruction (POI), or civilian academic course standards. The senior rater's evaluation is the link between the day-to-day observation of the rated Soldier and the longer-term evaluation of the rated Soldier's potential by HQDA selection boards. Normally, senior raters or reviewing officials control the accurate preparation and timely submission of evaluation reports. The overarching roles of senior raters or reviewing officials and specific roles by form type are outlined in this paragraph.

b. Requirements. Senior raters and reviewing officials will—

(1) Ensure support forms are provided to all rated Soldiers they senior rate at the beginning of and throughout the respective rating periods for those receiving an OER or NCOER.

(2) Use all reasonable means to become familiar with a rated Soldier's performance. When practical, use personal contact, records and reports, and the information provided on the rated Soldier's support form.

(3) Assess and evaluate the abilities and/or potential of the rated Soldier relative to their contemporaries. For OERs, this includes officers of the same rank and promotable officers who are serving at the same rank as the rated officer. This involves evaluating performance in perspective by considering—

(a) The rated Soldier's experience.

(b) The relative risk associated with the performance.

(c) The difficulty of the organization's mission.

(d) The prudence and results of action taken.

(e) The adequacy of resources.

(f) The overall efficiency of the organization.

(g) When applicable, adherence to established military course or academic standards established by the civilian educational, medical, or industrial institution.

(4) Ensure rating officials counsel the rated Soldier individually throughout the rating period, on meeting their objectives and complying with the professional standards of the Army.

(5) Ensure all evaluation reports that the senior rater and subordinates write are complete, provide a realistic evaluation of the rated Soldier, and are submitted to HQDA in a timely manner (in accordance with this regulation and DA Pam 623–3).

(6) Ensure rated Soldiers sign evaluation reports before departing from a unit of assignment or military or civilian school or course of instruction. The digitally signed evaluation report will serve as the Soldier's copy. If the rated Soldier manually signs a paper copy, is unavailable to sign, or refuses to sign an evaluation report, an electronic or paper copy will be provided to them. See para 3–23 for classified report restrictions.

(7) Document any substantiated finding, finalized in an Army or DoD investigation or inquiry, that the rated Soldier—

(a) Committed an act of sexual harassment or sexual assault;

(b) Failed to report a sexual harassment or sexual assault;

(c) Failed to respond to a complaint or report of sexual harassment or sexual assault; or

(d) Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

c. DA Form 67–10 series. Senior raters will—

(1) In addition to evaluating rated officers, normally perform the final review of the OER before it is provided to the rated officer for signature. A senior rater who is not qualified to evaluate a rated Soldier due to lack of time in the position will still act as a reviewer. Following their signature in the senior rater signature block on the completed OER, and signature by the rated officer, they will ensure that the final OER is submitted to HQDA in a timely manner and a copy is provided to the rated officer (in accordance with this regulation and DA Pam 623–3).

(2) Review and initial DA Form 67–10–1A at the beginning of the rating period and the completed DA Form 67–10–1A at the end of the rating period when preparing their portion of the OER.

(3) Whenever possible, for referred OERs (part II, block d, on DA Form 67–10–1, DA Form 67–10–2, and DA Form 67–10–3; and part II, block c, on DA Form 67–10–4), ensure that the rated officer is given an opportunity to review the completed OER and provide comments for consideration before authentication and departure from the unit or organization. The senior rater will ensure the completion of all necessary referral actions and submission of the appropriate documents to HQDA in as timely a manner as practicable (see paras 3–27 through 3–29).

d. DA Form 2166–9 series. Senior raters will—

(1) In addition to evaluating the rated NCO, perform a review of the NCOER before forwarding it to the supplementary reviewer, when applicable. A senior rater who is not qualified to evaluate a rated NCO due to lack of time in the position will still conduct an administrative review and sign the NCOER before forwarding it to the supplementary reviewer. Following completion of the NCOER by the designated reviewer and the rated NCO, they will also ensure the final NCOER is submitted to HQDA in a timely manner and a copy is provided to the rated NCO (in accordance with this regulation and DA Pam 623–3).

(2) Review and initial the DA Form 2166–9–1A at the beginning of the rating period and sign the completed NCOER at the end of the rating when preparing their portion of the NCOER.

e. DA Form 1059 series. Qualification to serve as the reviewing official is determined by the standards of the military course of instruction and/or civilian institution.

(1) For DA Form 1059 and DA Form 1059–2, the reviewing official will normally be the individual above the academic rater in the chain of supervision. The review function for DA Form 1059 and DA Form 1059–2 will go no higher than the school commandant. Reviewing officials for DA Form 1059 and DA Form 1059–2 will ensure timely submission of completed DA Form 1059 and DA Form 1059–2 to HQDA and that a copy is provided to the rated Soldier (in accordance with this regulation and DA Pam 623–3).

(2) For DA Form 1059–1, the review will be completed by AMEDD Student Detachment prior to inclusion in the Soldier's AMHRR. Unique situations exist when the installation education services officer may perform a review (see para 3–16).

(a) The Chief, Advanced Education Programs Branch, HRC will serve as the reviewing official for DA Form 1059-1s associated with the Army's fully and partially funded education programs, including Training with Industry governed by AR 621–1 and AR 621–7.

(b) HRC, Advanced Education Programs Branch or AMEDD Student Detachment, as applicable, will serve as the administrative reviewer on all DA Form 1059-1s with a reason for submission selection of "Initial Report" for Soldiers starting a long-term education program extending 24 months or more.

(c) The Chief, Advanced Education Programs Branch and Chief, AMEDD Student Detachment will ensure timely posting for completed DA Form 1059-1s for inclusion within the officer's records.

Section IV

Evaluation Report Reviews

2–15. Review of evaluation reports

a. Evaluation report reviews provide oversight of the evaluation reporting process, compliance with the policy guidance of this regulation, compliance with procedural guidance in DA Pam 623–3, and the accuracy of the completed report.

b. For OERs, the review is normally an inherent responsibility of the senior rater. A documented supplementary review will be performed by a uniformed Army advisor designated in the officers rating chain who is senior to the rated officer, and normally senior to the senior rater within the organization, in the following instances:

(1) When there are no uniformed Army designated rating officials for the rated officer.

(2) "Relief for Cause" reports when the senior rater is the individual directing the relief.

(3) "Relief for Cause" reports directed by an individual other than the rating officials (see figs 2–3, 2–4, and 2–5).

c. For NCOERs, in instances when a rated NCOs rating chain includes SGM/CSM, CW3 through CW5 or an Army officer in the rank of CPT or above as the senior rater, the senior rater will conduct the final rating chain review.

d. A documented supplementary review will be performed by a uniformed Army advisor in the rank of SGM/CSM, CW3 through CW5, or CPT and above, designated in the NCOs rating chain, senior to the senior rater—

(1) When a senior rater within the rated NCOs rating chain is an NCO in the rank of SFC through MSG/1SG.

(2) When a senior rater within the rated NCOs rating chain is a warrant officer in the rank of WO1 through CW2.

(3) When a senior rater within the rated NCOs rating chain is an Army officer in the rank of 2LT through 1LT.

(4) When there are no uniformed Army designated rating officials for the rated NCO.

(5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of SGT through MSG/1SG.

(6) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of WO1 through CW2.

(7) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 2LT through 1LT.

(8) For all "Relief for Cause" evaluation reports when the senior rater is the individual directing the relief.

(9) For all "Relief for Cause" evaluation reports directed by an individual other than the rating officials (see figs 2–3, 2–4, and 2–5).

e. As an exception to requirements outlined in paragraph 2–8*b*, CSMs serving at the USASMA as Director, Sergeants Major Course or Director, Staff and Faculty may perform supplementary reviews for any NCO that their Deputy Director senior rates, without regard to date of rank. Additionally, the Commandant and Deputy Commandant at USASMA, both nominative CSMs (TDA remarks code 8C), may serve as supplementary reviewer on any NCOER for which the Director, Sergeants Major Course or Director, Staff and Faculty serves as senior rater.

f. An additional, yet undocumented, review of completed NCOERs should be done by the senior NCO in the organization to ensure oversight of NCOs' performance.

g. For DA Form 1059 and DA Form 1059–2, the reviewing official is a designated individual in the chain of supervision, as determined by the school commandant. A documented supplementary review is required for academic failure evaluation reports.

h. For DA Form 1059–1, an administrative review is conducted by HRC, Advanced Education Programs Branch (AHRC–OPL–C) and/or AMEDD Student Detachment (as applicable). Unique situations exist when the installation education services officer may perform a review (see para 3–16).

Supplementary Review requirements by Uniformed Army Advisor (OER)						
Rater	*Uniformed Army Soldier*	*Other Rating Official*	*Other Rating Official*	*Uniformed Army Soldier*	*Other Rating Official*	*Other Rating Official*
Intermediate Rater	*Uniformed Army Soldier*	*Uniformed Army Soldier*	*Other Rating Official*	*Other Rating Official*	*Uniformed Army Soldier*	*Other Rating Official*
Senior Rater	*Uniformed Army Soldier*	*Uniformed Army Soldier*	*Uniformed Army Soldier*	*Other Rating Official*	*Other Rating Official*	*Other Rating Official*
Army Uniformed Advisor conducts Supplementary Review	**NO**	**NO**	**NO**	**NO**	**NO**	**YES**

Supplementary Review requirements by Uniformed Army Advisor (NCOER)						
Rater	*Uniformed Army Soldier*	*Other Rating Official*	*Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	*Uniformed Army Soldier in the rank of E5 through E8, WO1, CW2, 2LT, 1LT*	*Other Rating Official*	*Other Rating Official*
Senior Rater	*Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	*Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	*Other Rating Official*	*Other Rating Official*	*Uniformed Army Soldier in the rank of E7, E8, WO1, CW2, 2LT, 1LT*	*Other Rating Official*
Army Uniformed Advisor conducts Supplementary Review	**NO**	**NO**	**NO**	**YES**	**YES**	**YES**

Figure 2–3. Supplementary review requirement by uniformed Army advisor

2–16. Review requirements for DA Form 67–10 series, DA Form 2166–9 series, and DA Form 1059 series

a. In most instances, the senior rater (OERs and NCOERs), the reviewing official (DA Form 1059 and DA Form 1059–2), or administrative reviewer (DA Form 1059–1), will perform the final rating chain review ensuring that—

(1) Evaluation rating chains are correct.

(2) Evaluations rendered by rating officials are examined and discrepancies are clarified or resolved.

(3) All members of the rating chain have complied with this regulation and procedures prescribed in DA Pam 623–3.

(4) The communication process between the rater and rated officer or NCO has taken place and is documented properly as described in paragraph 3–4 and/or in accordance with academic counseling standards established by the military or civilian institution.

(5) All comments are consistent with counseling, support forms (or equivalent), or other communications between rating officials and the rated Soldier during the rating period. The senior rater or the uniformed Army advisor performing the supplementary review may not direct that rating officials change an evaluation believed to be accurate and made in good faith (see para 2–16*c*).

(6) A copy of the completed evaluation report is returned to the rated officer or NCO at the conclusion of the final review.

(7) All evaluation reports are submitted to the appropriate HQDA component along with any comments provided by the rated Soldier and documentation of any required supplementary review in paragraph 2–16*c*. Supplementary review memoranda will be prepared in accordance with paragraph 2–16*c*, figures 2–1, 2–2, or 2–4 and will be submitted to the appropriate HQDA component (see app F). Comments and supplementary review memoranda are able to be enclosed as external attachments to an evaluation by using the electronic form within EES.

b. In addition to paragraph 2–16*a*, reviewers of "Relief for Cause" OERs (see para 3–55), "Relief for Cause" NCOERs (see para 3–56), or "Did Not Graduate" AERs (see paras 3–50 and 3–51) reasons for submission, will follow the guidance of paragraph 2–17.

c. In certain situations, persons other than the senior rater (OER and NCOER) or reviewing official (AER) will conduct supplementary reviews. Supplementary reviews will be accomplished after receipt and review of the rated Soldier's comments, if provided.

(1) *Officer evaluation reports and noncommissioned officer evaluation reports.*

(a) If the senior rater is a U.S. Army officer (other than a general officer), a Department of the Army Civilian, or SES member who is also serving as the rater and there is no other Army officer in the chain of supervision to conduct a supplementary review, HQDA will perform an additional review.

(b) When there are no uniformed Army designated rating officials for the rated officer or NCO, a supplementary review will be performed (see para 2–15). When such a review is conducted, and the reviewer determines comments are necessary, the supplementary reviewer will prepare a memorandum (when required) as an enclosure to the OER or NCOER, as illustrated in figure 2–1. The memorandum will comment on the accuracy and/or clarity of the completed OER or NCOER in accordance with this regulation. The comments will not include evaluative statements about the rated Soldier or statements that amplify, paraphrase, or endorse the comments and/or ratings of the rating chain members. If there is no available U.S. Army officer above the senior rater in the chain of command, the senior rater or their BN and/or BDE S1 or administrative office will request an additional review by HRC (AHRC–PDV–ER) (see fig 2–2).

(2) *Academic evaluation reports.*

(a) DA Form 1059 and DA Form 1059–2. A supplementary review is required for all "Failed to Achieve Course Standards" (DA Form 1059) and "Non-Graduate" (DA Form 1059–2) part III, block a, "Overall Academic Achievement" box check selections which result in "Did Not Graduate" as the reason for submission in part I, block l. The supplementary review will be conducted by the person in the chain of supervision above the reviewing official, unless the commandant is the reviewing official. Supplementary reviews will go no higher than the school commandant.

1. School commandants may delegate signatory or approval authority to the registrar to perform supplementary review functions.

2. The commandant's delegation must be filed locally and rescinded or updated when a change of commandant occurs. See paragraphs 2–15, 2–16, 2–17, and DA Pam 623–3 for additional guidance on AER processing and review requirements.

(b) DA Form 1059–1. An administrative review is conducted by HRC, Advanced Education Programs Branch (AHRC–OPL–C) and/or AMEDD Student Detachment, as applicable (see app F). Unique situations exist when the installation education services officer may perform a review (see para 3–16).

2–17. Mandatory review of officer and noncommissioned officer relief, and academic failure evaluation reports

When an officer or NCO is officially relieved of duties, or does not graduate from a scheduled course, "Relief for Cause" OERs (see para 3–55), "Relief for Cause" NCOERs (see para 3–56), and "Did Not Graduate" AERs (see paras 3–50 and 3–51) reasons for submission require an additional review. OERs and AERs also require referral to the rated Solider as described in paragraph 3–29. For OERs and AERs, this review will occur following completion of the referral process and the rated Soldier's authentication signature. For NCOERs, since not referred, this review will occur following authentication signature by the rated NCO. Referral process for OERs and AERs will be completed before taking any actions in paragraphs 2–17*a* through 2–17*e*.

a. Reviewers of "Relief for Cause" OERs, "Relief for Cause" NCOERs, or "Did Not Graduate" AERs reasons for submission will—

(1) Ensure that the narrative portions of the OER, NCOER, or AER contain factual information that fully explain and justify the reason for the relief or AER failure.

(2) Verify that any derogatory information has been accurately reflected.

(3) Ensure that the evaluation report has been prepared as prescribed by this regulation.

(4) Ensure that the evaluation report has been returned to the rated officer for comment.

(5) Review relieved Soldier's referral comments, if provided.

b. All "Relief for Cause" OERs and "Relief for Cause" NCOERs will be reviewed by the first U.S. Army officer in the chain of command or supervision who is senior to the individual directing the relief.

(1) For OERs, if the relief is directed by the rater or intermediate rater, the senior rater will perform the review as an inherent role of the senior rater's responsibilities, provided they are an Army officer or Department of the Army Civilian when other rating officials are uniformed Army rating officials. Otherwise, the first U.S. Army officer in the

organization or chain of supervision above the individual directing the relief will perform a supplementary review of the OER outlined in paragraph 2–8*a*(2). Reviewer's comments, if required, will be prepared as an enclosure to the OER (see fig 2–4).

(2) For NCOERs, if the relief is directed by the rater, the senior rater will perform the review as an inherent role of the senior rater's responsibilities, provided the senior rater is a uniformed Army Soldier in the rank of SGM/CSM, CW3 through CW5, or an Army officer in the rank of CPT or above (see para 2–15*e* for exception). Otherwise, the first U.S. Army Soldier designated as the uniformed Army advisor in the rank of SGM/CSM, CW3 through CW5, or CPT and above within the organization or chain of supervision who is senior to the individual directing the relief will perform a supplementary review for the evaluation report outlined in paragraph 2–8*b*(2). Reviewer's comments, if required, will be prepared as an enclosure to the NCOER (see fig 2–4).

Note. In those instances when the supplementary review is performed by the senior rater (as an inherent role of their responsibilities), the senior rater's administrative information is only required within the appropriate administrative senior rater portion. No additional requirement exists for the senior rater's administrative information to also be entered with the supplementary reviewer administrative fields.

(3) If there is not an Army officer or uniformed Army advisor in the chain of command or supervision above the person directing the relief, the senior rater will request that HQDA perform the review function.

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR *(Rated Soldier's Name, Rank, DODID#, Report Period Covered)*

SUBJECT: Supplementary Review of Relief for Cause *(OER **or** NCOER) **or** Did Not Graduate (Reason for Submission AER, as applicable*)

1. As required by AR 623-3, Evaluation Reporting System, an additional review of the referenced Relief for Cause *(OER **or** NCOER) **or** Did Not Graduate (AER), (as applicable)* was made by me, using paragraph 2-17 as the principal source of guidance.

2. As a result of my review, I submit the following comments:

(Signature block of the reviewer)

Figure 2–4. Sample format for a "Relief for Cause"/"Academic Failure" supplementary review memorandum

c. The procedures for reviewing "Relief for Cause" OERs and "Relief for Cause" NCOERs are as follows:

(1) If the senior rater is qualified to serve as the reviewer and they are satisfied that the report is clear, accurate, complete, and fully in accord with the provisions of the regulation, they continue to process the report.

(2) If the senior rater finds that the OER or NCOER is unclear, contains errors of fact, or is otherwise in violation of this regulation, they will return the OER or NCOER to the appropriate rating official, indicating what is wrong. The senior rater will avoid all statements and actions that may influence or alter an accurate evaluation made in good faith by the rater or intermediate rater. When the OER or NCOER has been corrected, it will be returned to the senior rater.

(3) If the senior rater is not an Army officer, a Department of the Army Civilian when other rating officials are uniformed Army rating officials, or if the relief was directed by the senior rater or an individual other than their rating officials, the OER or NCOER will be reviewed by the first Army officer (uniformed Army advisor) in the organization or supervision above the individual directing the relief. This officer will perform the functions described in paragraphs 2–15, 2–16, and 2–17. Their comments will be prepared as an enclosure to the OER or NCOER (see fig 2–1 or 2–4).

(4) If there is not an Army officer or uniformed Army advisor in the chain of command or supervision above the person directing the relief, the OER or NCOER will be forwarded to the appropriate HQDA component for review (see app F).

(5) Changed "Relief for Cause" OERs will be referred, again, by the senior rater to the rated officer in accordance with paragraph 3–29 so that the corrected OER may be acknowledged and comments provided, if desired. (Only the final referral and acknowledgment are forwarded with the OER to HQDA.)

(6) If the corrected OER is satisfactory to the senior rater (or other reviewer), the senior rater (or other reviewer) will continue to process the OER in accordance with paragraph 3–29.

(7) If the corrected OER is not satisfactory to the senior rater (or other reviewer), or if the other rating officials disagree about the need for changes in the report, the senior rater (or other reviewer) will indicate objections to the report by adding an enclosure to the OER. When indicating objections, the senior rater (or other reviewer) is restricted to discussing only the issues listed in paragraph 2–17*a*.

(8) Changed "Relief for Cause" NCOERs will be resubmitted to the rated NCO for authentication and acknowledge the corrected NCOER.

(9) If the corrected NCOER is satisfactory to the senior rater (or other reviewer), the senior rater (or other reviewer) will continue to process the NCOER.

(10) If the corrected NCOER is not satisfactory to the senior rater (or other reviewer), or if the other rating officials disagree about the need for changes in the report, the senior rater (or other reviewer) will indicate objections to the report by adding an enclosure to the NCOER. When indicating objections, the senior rater (or other reviewer) is restricted to discussing only the issues listed in paragraph 2–17*c*.

(11) The senior rater (or other reviewer) will ensure that the rated Soldier receives a copy of the final OER or NCOER with all enclosures.

d. For DA Form 1059 and DA Form 1059–2 that reflect "Did Not Graduate" as a result of a "Failed to Achieve Course Standards" (DA Form 1059) or a "Non-Graduate" (DA Form 1059–2) selection in part III, block a, "Overall Academic Achievement," a supplementary review is required by the next individual above the reviewing official in the chain of supervision, unless the school commandant is the reviewing official annotated on the evaluation report. Supplementary reviews will go no higher than the school commandant (see para 2–16 and DA Pam 623–3).

e. For DA Form 1059–1 that reflects "Did Not Graduate" as a reason for submission, administrative review is required by the Chief, Advanced Education Programs Branch (AHRC–OPL–C) or Chief, AMEDD Student Detachment (as applicable).

Supplementary review requirement by Uniformed Army Advisor for relief for cause (OERs)								
Rater	** Uniformed Army Soldier*	** Other Rating Official*	** Other Rating Official*	** Other Rating Official*	** Uniformed Army Soldier*	** Uniformed Army Soldier*	** Uniformed Army Soldier*	** Other Rating Official*
Intermediate Rater (OER only)	** Uniformed Army Soldier*	** Uniformed Army Soldier*	** Other Rating Official*	*Uniformed Army Soldier*	** Other Rating Official*	** Other Rating Official*	** Other Rating Official*	** Other Rating Official*
Senior Rater	*Uniformed Army Soldier*	*Uniformed Army Soldier*	*Uniformed Army Soldier*	*Other Rating Official*	*Uniformed Army Soldier*	*DA Civilian*	*Other Rating Official*	*Other Rating Official*
Army Uniformed Advisor conducts Supplementary Review	**NO**	**NO**	**NO**	**NO**	**NO**	**NO**	**YES**	**YES**

* Indicates Rating official who conducted relief
(1) Relief for Cause conducted by any senior rater requires review
(2) Relief for Cause by an official outside of designated rating officials requires review by first Uniformed Army Officer above relieving official

Supplementary review requirement by Uniformed Army Advisor for relief for cause (NCOERs)						
Rater	** Uniformed Army Soldier*	** Other Rating Official*	** Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	** Other Rating Official*	** Uniformed Army Soldier in the rank of E5 through E8, WO1, CW2, 2LT, 1LT*	** Uniformed Army Soldier in the rank of E5 through E8, WO1, CW2, 2LT, 1LT*
Senior Rater	*Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	*Uniformed Army Soldier in the rank SGM/CSM,CW3-CW5, CPT and above*	*Other Rating Official*	*Uniformed Army Soldier in the rank of E7, E8, WO1, CW2, 2LT, 1LT*	*Uniformed Army Soldier in the rank of E7, E8, WO1, CW2, 2LT, 1LT*	*Other Rating Official*
Army Uniformed Advisor conducts Supplementary Review	**NO**	**NO**	**NO**	**YES**	**YES**	**YES**

* Indicates Rating official who conducted relief
(1) Relief for Cause conducted by any senior rater requires review
(2) Relief for Cause by an official outside of designated rating officials requires review by the first Uniformed Army Solider in the rank of SGM/CSM, CW3 through CW5, or CPT and above within the organization or chain of supervision who is senior to the individual directing the relief

Figure 2–5. Supplementary review requirement by uniformed Army advisor for relief for cause

2–18. Review of DA Form 2166–9 series

a. There are two types of NCOERs: an undocumented review and a documented review. Every NCOER should receive an undocumented review by the 1SG, SGM, or CSM to ensure accountability of Soldiers' NCOERs and to oversee the performance of junior NCOs. This is in addition to reviews required by designated supplementary reviewer in accordance with paragraph 2–15, and the below, as applicable.

b. For documented reviews, the supplementary reviewer will—

(1) Ensure that the proper rater and senior rater complete the report.

(2) Examine the evaluations rendered by the rater and senior rater to ensure they are clear, consistent, and just in accordance with known facts. Special care will be taken to ensure the specific bullet comments and/or narrative comments support appropriate "Far Exceeded Standard," "Exceeded Standard," "Met Standard," and "Did Not Meet Standard" ratings in part IV of the NCOER (see DA Pam 623–3 for definitions).

c. If the supplementary reviewer determines the NCOER is sufficient as prepared and is in accordance with this regulation, the supplementary reviewer will indicate a "No" in response to Comments Enclosed in part II, block c4.

d. If the supplementary reviewer determines the NCOER is not in accordance with this regulation and comments are necessary, the supplementary reviewer will indicate a "Yes" in response to Comments Enclosed in part II, block c4, and add an enclosure to the NCOER not to exceed one page, as illustrated in figure 2–1. The enclosed memorandum will comment on the accuracy and/or clarity of the completed NCOER in accordance with this regulation. Comments will not include evaluative statements about the rated NCO or statements that amplify, paraphrase, or endorse comments and/or ratings of the rating chain members. For specific instructions, see DA Pam 623–3.

e. The reviewer may not direct that the rater and/or senior rater change an evaluation that is accurate and made in good faith.

f. In cases where neither the rater nor the senior rater is an NCO, the supplementary reviewer will get additional informal input from the senior NCO subordinate to the reviewer.

g. The reviewer will complete and authenticate the NCOER in accordance with DA Pam 623–3.

h. Following completion of the review, the senior rater will forward the NCOER with required attachments (if any) to the appropriate HQDA component (see app F).

Section V

Special Evaluation Reporting Requirements

2–19. Loss of a rating official or rated Soldier due to death, declared missing, relief for cause, or incapacitation

Special rules apply when a rating official is eliminated from the rating chain or is unable to render an evaluation of the rated Soldier. These situations occur when a rating official dies, is declared missing, is relieved of their position or duties for cause, or becomes mentally or physically incapacitated to such an extent that they are unable to render an objective or accurate evaluation. When a rating official is officially relieved or determined to be incapacitated, they will not be permitted to evaluate their subordinates. This restriction will apply to evaluation reports with a "Thru" date prior to the relief or incapacitation of the rating official that have not yet completed processing to the rated Soldier's AMHRR. The guidance in this paragraph will apply.

a. Requirements for DA Form 67–10 series.

(1) When the rater is eliminated from the rating chain for any of the reasons cited in this paragraph, a determination will be made whether or not the minimum rating period (90 or more calendar days) for an OER has been met (see para 2–10*a*(1)). If the minimum rating period has not been met, the period is nonrated and a new rater will be designated. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for raters is 120 calendar days (see apps G and H).

(a) If the minimum rating period has been met, the intermediate rater, if any, will perform the rater's functions. The intermediate rater will do so only if they feel qualified to rate and have served in the rated officer's rating chain for a period of 60 or more calendar days. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for intermediate raters is 90 calendar days (see apps G and H).

(b) If there is no intermediate rater, or if the intermediate rater does not have adequate knowledge of the rated officer's performance and potential to qualify him or her to render an OER as a rater, or has not met the 60-day requirement, the senior rater will perform the rater's function, but only if he or she has adequate knowledge of the rated officer's performance and potential and has served in the rating chain for 60 or more calendar days, qualifying him or her to rate. Likewise, if the senior rater does not have adequate knowledge of the rated officer's performance and potential to qualify him or her to render an OER or has not met the 60-day requirement, the period will be nonrated. If a senior rater assumes the role of rater, they will serve as both rater and senior rater (see para 2–20). When the senior rater performs the functions of the rater, the rating period of the OER will be the period the senior rater has been in the rating chain. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for senior raters is 90 calendar days (see apps G and H).

(2) When the intermediate rater is eliminated from the rating chain for any of the reasons cited in this paragraph, a new intermediate rater may be appointed who will render an evaluation when one is due after completing the minimum required time to serve as the intermediate rater. If an OER is due and a new intermediate rater has not been appointed as part of the rating chain, no intermediate rater will appear on the OER (as applicable).

(3) When the senior rater is eliminated from the rating chain for any of the reasons cited in this paragraph, a new rating official will be designated by either of two options:

(a) A new senior rater will be appointed, as a routine change, who will render an evaluation when one is due only after completing the minimum time requirements to serve as the new senior rater.

(b) The original senior rater's rater may be appointed as the new senior rater. In order to evaluate the rated officer as the new senior rater, the newly designated senior rater must be a member of the U.S. Armed Forces or employee of DoD, be of the appropriate rank or grade to senior rate, and have adequate knowledge of the rated officer's performance and potential to qualify them to render an evaluation in place of the original senior rater. Senior rater minimum time requirements to serve as the newly designated senior rater are not required.

(4) When a rating official is removed from his or her duty position for cause or suspended, he or she will not render or receive evaluation reports until his or her status (and, thus, his or her ability to serve as a rating official) is decided. This includes all pending evaluation reports submitted to HQDA for processing that have not completed to the Integrated Personnel Electronic Records Management System (IPERMS) at the time of relief and/or suspension notification. Unit administrative personnel will contact HRC and request all submitted evaluations pending examination be returned for appropriate action due to the relief or due to a pending status determination for the suspended rating official(s) or rated officer.

(a) When a rated officer is suspended with a final determination that results in relief, the suspended period of time will be annotated as nonrated time on the suspended rated officer's OER. If not relieved, this provision does not apply, and the OER held pending a status determination must be completed (see para 3–55).

(b) When a rater, intermediate rater, or senior rater is suspended with a final determination that results in relief, the suspended period of time will be annotated as nonrated time on the suspended rating official's evaluation report. If not relieved, this provision does not apply, and all evaluations held pending a status determination must be completed (see para 3–55).

(5) In cases when both the rater and senior rater are eliminated from the rated officer's rating chain (and there is no intermediate rater), the rating period will normally be declared nonrated time with a nonrated code of Z and the next rating chain will account for that period of time in the next OER. On a case-by-case basis, and as an exception to policy, HQDA may approve the original senior rater's rater to serve as both rater and senior rater on the rated officer's OER. In order to evaluate the rated officer as the senior rater, he or she must be a member of the U.S. Armed Forces or employee of DoD, be of the appropriate rank or grade, and have adequate knowledge of the rated officer's performance and potential to qualify him or her to render an OER in place of the removed senior rater. Senior rater minimum time requirements to serve as the newly designated senior rater are not required.

(6) Removal of a supplementary reviewer from the rating chain will be treated as a routine change. A new supplementary reviewer will be designated meeting qualifications outlined in paragraph 2–8*a*.

(7) Comments about events that occurred during nonrated periods are prohibited. If the rated officer will be seen by an HQDA-level selection board, he or she may request a missing evaluation statement, which he or she can submit with a letter to the president of the board to explain an abnormal gap in their OER history.

b. Requirements for DA Form 2166–9 series.

(1) When the rater is eliminated from the rating chain for any of the reasons cited in this paragraph, it will be determined whether the minimum rating period for an NCOER has been met (see para 2–10*a*(1)).

(a) If the minimum rating period has not been met, the period is nonrated and a new rater will be designated. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for senior raters is 90 calendar days (see apps G and H).

(b) If the minimum rating period has been met, the senior rater will perform the rater's function, but only if he or she has adequate knowledge of the rated NCO's performance and potential and has served in the rating chain for 60 or more calendar days, qualifying him or her to rate. If the senior rater does not have adequate knowledge of the rated NCO's performance and potential to qualify him or her to render an NCOER or has not met the 60-day requirement, the period will be nonrated. If a senior rater assumes the role of rater, he or she will serve as both rater and senior rater. See paragraph 2–20 and DA Pam 623–3 for NCOER procedures when the senior rater also serves as the rater. When the senior rater performs the functions of the rater, the rating period of the NCOER will be the period the senior rater has been in the rating chain.

(2) When a senior rater is eliminated from the rating chain for any of the reasons cited in this paragraph, a new senior rater will be designated by either of these options:

(a) A new senior rater will be appointed, as a routine change, who will render an evaluation when one is due only after completing the minimum time requirements to serve as the new senior rater.

(b) The original senior rater's rater may be appointed as the new senior rater. In order for this individual to evaluate the rated NCO as the new senior rater, the newly designated senior rater must be a member of the U.S. Armed Forces

or employee of DoD, be of the appropriate rank or grade to senior rate, and have adequate knowledge of the rated NCO's performance and potential to qualify them to render an evaluation in place of the original senior rater. Senior rater minimum time requirements to serve as the newly designated senior rater are not required.

(3) When a rating official is removed from his or her duty position for cause or suspended, he or she will not render or receive evaluation reports until his or her status (and, thus, his or her ability to serve as a rating official) is decided. This includes all pending evaluation reports submitted to HQDA for processing that have not completed to IPERMS at the time of relief and/or suspension notification. Unit administrative personnel will contact HRC and request all submitted evaluations pending examination be returned for appropriate action due to the relief or due to a pending status determination for the suspended rating official(s) or rated NCO.

(a) When a rated NCO is suspended with a final determination that results in relief, the suspended period of time will be annotated as nonrated time on the suspended rated NCO's NCOER. If not relieved, this provision does not apply, and the NCOER held pending a status determination must be completed (see para 3–56).

(b) When a rater or senior rater is suspended with a final determination that results in relief, the suspended period of time will be annotated as nonrated time on the suspended rating official's evaluation report. If not relieved, this provision does not apply, and all evaluations held pending a status determination must be completed (see para 3–56).

(4) In cases when both the rater and senior rater are removed from the rating chain, the rating period will normally be declared nonrated time with a nonrated code of Z, and the next rating chain will account for that nonrated period of time on the next NCOER. On a case-by-case basis, and as an exception to policy, HQDA may approve the senior rater's rater to serve as both rater and senior rater on the rated NCO's NCOER. In order for this individual to evaluate the rated NCO as the senior rater, they must be a member of the U.S. Armed Forces or employee of DoD, be of the appropriate rank or grade to senior rate, and have adequate knowledge of the rated NCO's performance and potential to qualify them to render an evaluation in place of the removed senior rater. Minimum senior rater time qualifications for this individual are not required.

(5) Removal of a supplementary reviewer from the rating chain will be treated as a routine change. A new supplementary reviewer will be designated meeting qualifications outlined in paragraph 2–8*b*.

(6) Comments about events that occurred during nonrated periods are prohibited. If the rated NCO will be seen by an HQDA-level selection board, they may request a missing evaluation statement, which can be submitted with a letter to the president of the board to explain an abnormal gap in their NCOER history.

c. Requirements for DA Form 1059 series.

(1) For DA Form 1059 and DA Form 1059–2, a new rater and/or reviewing official will be designated by the commandant of the school in the event of loss, relief, or incapacitation of that official.

(2) When the academic rater is eliminated from the rating chain for any reason cited in this paragraph, the commandant of the school will designate a qualified rating official with adequate knowledge of the rated student's academic performance that will qualify them to render an evaluation in place of the removed academic rater.

(3) When the reviewing official is eliminated, a new reviewing official will be designated by either one of two options:

(a) The commandant can designate the registrar or a new qualified reviewing official to perform responsibilities.

(b) The commandant can act as the reviewing official to perform review responsibilities.

(4) In cases when both the rater and reviewing official are eliminated from the rating chain, the CG, U.S. Army Training and Doctrine Command (TRADOC) will designate a local official qualified to serve as both rater and senior rater.

(5) For DA Form 1059–1, in the event of loss, suspension, or incapacitation of a qualified academic advisor, the dean of the academic institution will appoint appropriate evaluation officials in accordance with local administrative standards.

d. Death of rated Soldier.

(1) The death of a Soldier does not require an evaluation report to be prepared for submission to HQDA.

(2) Any previous evaluation report having a "Thru" date prior to the date of a Soldier's death can still be submitted for processing to the Soldier's AMHRR. Submission and processing must be accomplished within a 6-month window.

e. Soldier declared Missing in Action.

(1) When a rated Soldier is declared missing, an OER or NCOER is required as of the date of the incident. The evaluation will be prepared with a "Thru Date" as date of the incident. Under these situations, rating chain time minimums do not apply.

(2) OERs or NCOERs will not be rendered on Soldiers for periods during which they are missing. The effect, if any, of a Soldier's status on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the Uniform Code of Military Justice (UCMJ), will be governed by the laws and regulations pertaining to the particular action (see para 3–41).

2–20. Supervisor as both rater and senior rater

This paragraph addresses when a supervisor may serve as both rater and senior rater under circumstances other than due to the loss of a rating official.

a. The provisions of this paragraph do not apply to DA Form 1059 series (AER).

b. For OERs in the following situations, a supervisor who would normally act only as a rater on an OER may also act as a senior rater, providing he or she meets the minimum senior rater rank or grade requirement and the authority to do so has not been restricted by the next higher commander:

(1) A general officer for their aide-de-camp or an SES equivalent for their military assistant.

(2) A commander for their inspector general (IG).

(3) An MG (includes a BG in an MG position) or higher, or an SES or equivalent to an MG.

(4) A BG who is a commander or school commandant (includes a COLP working in a BG commander or commandant position).

(5) A rater who, under the normal rating chain rules, would cause the senior rating to be performed by one of the following senior officials provided the senior official does not desire to serve as senior rater:

(a) The Secretary, Deputy Secretary, or the Under Secretaries of Defense.

(b) Assistant Secretaries of Defense.

(c) The Secretary or Under Secretary of the Army.

(d) Assistant Secretaries of the Army.

(e) The Chief of Staff, Army.

(f) The Vice Chief of Staff, Army.

(g) Chairman, Joint Chiefs of Staff.

(h) Vice Chairman, Joint Chiefs of Staff.

(i) The Supreme Allied Commander, Europe.

(j) Commanders of specified or unified commands.

c. The authority to act as both rater and senior rater does not extend to the rater of a general officer or COLP in a general officer position, unless there is no senior official who could logically serve as senior rater.

d. General officers authorized to serve as both rater and senior rater may evaluate a rated officer after meeting the minimum rating period (60 rated days) for mandatory evaluation reports (see paras 3–41 through 3–56), rather than the standard rating requirement of 90 calendar days. For USAR TPU, DIMA, and IRR Soldiers and ARNG Soldiers, the minimum rating requirement for general officers is 90 calendar days (see apps G and H).

e. When the situations listed in this paragraph apply, additional reviews may be required. Refer to paragraphs 2–15, 2–16, and 2–17.

f. On NCOERs, a rater may act as both the rater and senior rater when the rater is a general officer or a civilian employee with SES rank and precedence. A COLP working in a BG position may also serve as both the rater and senior rater. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating requirement for general officers is 90 calendar days (see apps G and H).

g. See appendix E for AMEDD officers serving as both rater and senior rater.

2–21. Dual supervision (DA Form 67–10 series only)

This paragraph does not apply to DA Form 2166–9 series (NCOER) or DA Form 1059 series (AER).

a. Officers are considered to be serving under dual supervision when they are supervised by, and assigned different duties by, two separate chains of command or supervision throughout the entire rating period. (For example, a unit commander responsible to the unit chain of command for unit matters and to the senior mission commander for installation matters.) Support unit commanders whose primary mission is to support another unit are generally not serving under dual supervision since they are assigned the support mission and supervised in its execution by their parent units.

b. Both chains of commands or supervision will be represented in the rating chain. This can be accomplished by dividing the rating chain positions between the two supervisory chains (preferred method). For example, the rater might be selected from the nonparent unit and the senior rater from the parent unit. Alternatively, the rater and senior rater might be selected from the parent unit and the intermediate rater selected from the nonparent unit. Important considerations in establishing the rating chain are the significance of the duties supervised by each chain of command and the seniority of the respective supervisors. Rating officials must meet the minimum time requirements in order to render an evaluation on the rated officer.

c. When it is not practical to designate a nonparent unit supervisor as rater, intermediate rater, or senior rater, this supervisor may submit written comments concerning the rated officer's duty performance to the designated rater for their use in developing the rater's evaluation. These comments will address that portion of the rated officer's duties

directed by this supervisor. Nonparent unit supervisors will enter an evaluation on OERs only if they are a designated member of the published rating chain for a minimum of 60 calendar days prior to the "Thru" date of the OER. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum OER rating requirement is 90 calendar days (see apps G and H).

d. The published rating chain will contain the notation "dual supervision" next to the rated officer's name.

e. The duty description on OER support forms and OERs will annotate and identify dual supervision. The statement, "Officer serving under dual supervision" will be entered as the first line of the duty description.

f. See appendixes C (for chaplains), D (for JAGC officers), and E (for AMEDD officers), as applicable.

2–22. Professors of military science

Professors of military science are responsible to both a DoD chain of command and a non-DoD supervisory chain (the academic institution). In these cases, the rater, intermediate rater, and senior rater will be selected from the DoD chain of command.

2–23. Special requirements

a. Special evaluation report requirements for warrant officers are in appendix B.

b. Special evaluation report requirements for chaplains are in appendix C.

c. Special evaluation report requirements for JAGC officers are in appendix D.

d. Special evaluation report requirements for AMEDD officers are in appendix E.

Chapter 3
Army Evaluation Principles

Section I

Evaluation Overview

3–1. Introduction

This chapter governs evaluation principles for Regular Army, USAR, and ARNG Soldiers. Specific instructions for preparation and submission of evaluation forms are addressed in DA Pam 623–3. Special requirements for USAR and ARNG evaluations can be found in appendixes G and H.

3–2. Evaluation report requirements

a. Evaluation reports (OERs and NCOERs) will not be submitted unless authorized by this regulation or directed by HQDA.

b. Reports will be submitted for:

(1) All officers through the rank of BG.

(2) All warrant officers through the rank of CW5.

(3) All NCOs in the grades of SGT through SGM. Reports are optional for SGMs serving in three- and four-star nominative positions, except for "Relief for Cause" reports. When SGMs serving in three- and four-star nominative positions are reassigned to other duties and no other report has been submitted, that time will be considered nonrated and will appear on the next report submitted upon reassignment for those duties.

c. There are two types of evaluation reports: mandatory and optional. These types are further divided into evaluation reports requiring a 90-day minimum rating period and those that have an other than 90-day minimum rating period requirement (types discussed later in this chapter). For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days (see apps G and H). To determine if a rated Soldier meets the minimum calendar-day requirement for an evaluation report described in this chapter, all nonrated time will be deducted from the total number of days in the period covered to determine if the Soldier has met the minimum rating period in the same position under the same rater.

d. Rating officials greatly affect a rated Soldier's performance and professional development. Thus, these officials will ensure that the rated Soldier thoroughly understands the organization, its mission, their role in support of the mission, and all of the military and/or academic standards by which individual performance will be evaluated. The DA Form 67–10–1A and DA Form 2166–9–1A processes outlined in DA Pam 623–3 are designed specifically to assist in this rating chain responsibility.

e. To render an objective evaluation, rating officials will use all opportunities to observe and gather information on the rated Soldier's individual performance.

f. Rating officials will prepare evaluation reports that are forthright, accurate, and as complete as possible within the space limitations of the form. This responsibility is vital to the long-range success of the Army's mission. With due regard for the rated Soldier's current rank or grade, experience, and military schooling, evaluations will cover failures as well as achievements. Evaluations normally will not be based on a few isolated minor incidents. Rating officials have a responsibility to balance their obligations to the rated Soldier with their obligations to the Army. Rating officials will make fair and accurate evaluations of Soldiers under their supervision. On the one hand, this evaluation will give full credit to the rated Soldier for their achievements and potential. On the other hand, rating officials are obligated to the Army to be accurate and discriminating in their evaluations so Army leaders, HQDA selection boards, and career managers can make informed decisions.

g. Retirement OER or NCOER requirements include the following:

(1) All Soldiers will receive an OER or NCOER within 12 months before the first day of transition leave. Retirement OERs or NCOERs of less than 1 calendar year are optional. These reports will be rendered at the option of the rater, senior rater, or when requested by the rated Soldier (see para 3–44*c)*. Retirement reports that conclude a Soldier's military career, if rendered, will have a "Thru" date that is the final day of supervision or last duty day before beginning transition leave (or before the effective date of retirement, if no transition leave is taken).

(2) It is important on any final OER or NCOER that rating officials consider documenting performance and any unique skills that are of value to the Army. For more information on retirement reports see paragraph 3–44*c*.

h. Retirees recalled to active duty may serve as rating officials; however, they will not receive OERs or NCOERs because they no longer compete for promotion (see para 3–33). At the option of the rating chain, all aspects of the ERS program may be used as a communication tool at the local or unit level, but a final OER or NCOER will not be submitted for processing. Therefore, no recalled retiree will be considered as part of the senior rater profile population.

i. A newly commissioned officer or newly appointed warrant officer will not be rated on an OER under any provisions of this regulation prior to completion of BOLC or WOBC, except for "Relief for Cause" reports. The period prior to attending BOLC or WOBC will be nonrated and will be accounted for in the officer's first OER (see para 3–35*b)*. This same policy also applies to ARNG officers (see para H–3*c*). See paragraph G–5*m* for guidance regarding USAR officers.

j. DA Form 1059 series (AER) are outlined in paragraphs 3–15 and 3–16 and DA Pam 623–3. Performance counseling for Soldiers attending military schools will be conducted in accordance with procedures established by the commandant of the school at the local level or by the CG, TRADOC. Academic performance counseling and DA Form 1059 series (AER) for military personnel attending a civilian educational, medical, or industrial institution will be conducted in accordance with procedures established at the local level by the dean of the institution or appropriate civilian official.

3–3. Evaluation report forms

Specific procedural guidance and instructions for the preparation and submission of evaluation report forms are addressed in DA Pam 623–3 as follows:

a. Chapter 2, DA Form 67–10–1A and DA Form 67–10 series (OER).

b. Chapter 3, DA Form 2166–9–1A and DA Form 2166–9 series (NCOER).

c. Chapter 4, DA Form 1059 series (AER).

Section II

DA Form 67–10–1A and DA Form 2166–9–1A

3–4. The support form communication process

Initial and follow-up counseling between the rater and the rated Soldier that is documented on the support forms (OER and NCOER) assures a verified communication process throughout the rating period.

a. The support form communication process is characterized by initial and follow-up face-to-face counseling between the rater and the rated Soldier throughout the rating period. This process is used to achieve the purposes of DA Form 67–10–1A and DA Form 2166–9–1A. The initial face-to-face counseling assists in developing the elements of the rated Soldier's duty description, responsibilities, and performance objectives. The follow-up counseling enhances mission-related planning, assessment, and performance development. Discussion and procedures on counseling are found in DA Pam 623–3 and ATP 6–22.1.

b. Through the communication process, rated Soldiers are made aware of the specifics of their duties and may influence the decision on what is to be accomplished. Thus, the rated Soldier is better able to—

(1) Direct and develop their subordinates.

(2) Plan for accomplishing the mission.

(3) Gain valuable information about the organization.

(4) Find better ways to accomplish the mission.

c. Using performance objectives as the basis for leadership communication enables the rater and the rated Soldier to identify the most important tasks, priorities, major areas of concern, and responsibilities of the rated Soldier. Many categories of objectives exist; the following examples are alternatives for consideration:

(1) Routine objectives deal with repetitive duties. These duties do not ordinarily produce visible results, but if they are not properly done, serious consequences could occur (for example, processes administrative discharges within a 45-day period; carries out a program that ensures on time responses to suspended items).

(2) Problem solving objectives deal with problem situations. These objectives will allow time for dealing with problems without disrupting other objectives (for example, prepares for logistical support to activate a BN).

(3) Innovative objectives create new or improved methods of operation. These may involve a degree of risk because they are untried ideas (for example, creates and/or carries out a new property accountability system or develops and tests maintenance programs).

(4) Personal development objectives further the professional growth of the rated officer, NCO, or their subordinates. These objectives will be oriented toward skills that will help either the Soldier's career development or job performance. These may be in any assigned specialty (for example, complete a correspondence course or additional civilian education, or improve subordinates' knowledge in their area of responsibility by developing an Army publication study program).

d. The fact that the rated Soldier or rater initiates a support form at the beginning of the rating period provides impetus for the communication process. Discussion of duties and major performance objectives at the beginning of a rating period resolves misunderstandings and ambiguities before they can adversely affect performance and mission accomplishment. Throughout the rating period, the working copies of support forms focus on follow-up face-to-face counseling on mission requirements and performance. This provides consistency and centers leadership communication and development from the beginning of the rating period until the end. See DA Pam 623–3, which discusses the automatic population of forms with up-to-date administrative data entries from HQDA's authoritative database when initially preparing support forms.

e. If the communication process has been properly executed, support forms will assist the rating chain in completing the OER or NCOER because the support forms are forwarded through the rating chain as evaluations are rendered.

(1) To emphasize the importance of the support form in the evaluation process, the rated Soldier and rater will verify the face-to-face follow-up counseling by initialing the support form.

(2) Documentation of counseling is critical, particularly when the rated Soldier is not meeting performance standards. The support form becomes a source document and, through its use, can assist in altering substandard performance into performance that meets established standards.

(3) For both OERs and NCOERs, the support form accompanies the rater's evaluation of the rated Soldier when forwarded to the senior rater to provide information from the rated Soldier's point of view to the entire rating chain.

f. Support forms enable the rated Soldier, rater, intermediate rater (if applicable), and senior rater to communicate and provide documented input for consideration in preparing the OER or NCOER at the end of the rating period. The rater will use the support form to complete an assessment of the rated Soldier on the OER or NCOER and will forward both documents to the next person in the rating chain (senior rater or intermediate rater, as applicable). The intermediate rater, if applicable, will use the support form to complete their portion of the OER and will forward the documents to the senior rater. The senior rater will use the support form to assess the rated Soldier and will forward the completed OER or NCOER and support form to the supplementary reviewer for review, if applicable, and/or to the rated Soldier for review and signature before its submission to HQDA.

g. Although the support or form is an official document covered by regulation, it will not become part of the official file used by selection boards or career managers. Failure to comply with any or all support form or counseling requirements will not constitute the sole grounds for appeal of an evaluation report. The senior rater will ensure that a completed support form is returned to the rated Soldier when the OER or NCOER is forwarded to HQDA.

3–5. Army performance objectives and special interest items

Army performance objectives have been identified at the highest levels of the Army as areas of special interest regarding officer and NCO leaders Armywide.

a. Rated Soldiers will include this information in the development of support forms or counseling documents.

b. When applicable, rating officials will include rated Soldier performance related to these special interest items in their overall assessment on the evaluation report. Additionally, AR 600–20 provides policy for when special interest items will be mentioned in a Soldier's evaluation report when substantiated by a completed command or other official

investigation (for example, Commander's or Commandant's Inquiry, AR 15–6 investigation, equal opportunity (EO) investigation, and/or investigations by official military or civil authorities).

(1) In accordance with applicable Army guidance, rating officials of Soldiers with substantiated issues or incidents regarding Army performance objectives and/or command special interest items during the rating period will include such information on evaluation reports. The items in paragraph 3–5*b*(2) and those mentioned in paragraphs 3–25 through 3–28 may be considered.

(2) Special interest items are not all-inclusive. Comments related to safety, individual and unit deployment readiness, energy-informed actions (see para 3–5*b*(2)(*k*)), support of behavioral health goals, support of the EO and Equal Employment Opportunity (EEO) Programs, and goals for fostering a climate of dignity and respect and supporting the SHARP Program will be included on all support forms. Special interest item topics are not expected to be reflected on subsequent OERs and NCOERs (except for those defined as being required), but they may be addressed when evaluating the rated officer's or NCO's overall performance and potential. Commanders may establish their own special interest items and performance objectives.

(a) Safety. See AR 385–10. All officers and NCOs will have a safety-related objective or task developed as part of their counseling requirements.

(b) Individual and unit deployment readiness. All officers and NCOs will indicate a full understanding of their responsibility to maintain individual and unit deployment readiness as part of their counseling requirements. Leaders must be aware of the deployability status of their subordinates.

(c) Support of behavioral health goals. All officers and NCOs will discuss how their actions in handling Soldiers with behavioral health issues impact the command climate and overall unit performance as part of their initial counseling requirements. Leaders play a key role in decreasing stigma and promoting positive attitudes toward behavioral health issues.

(d) Internal evaluation systems. See AR 11–2.

(e) Contracting and acquisition. See DoDI 5000.66.

(f) Information Security Program. See AR 380–5. The rating officials will consider the rated Soldier's discharge of any assigned security responsibilities. Rating officials will comment on any action, behavior, or condition that was a reportable matter under Army security regulations and indicate the disposition of any investigation stemming from such a violation.

(g) Natural resources management. See AR 200–1.

(h) Property accountability. See AR 735–5.

(i) Command inspections. See AR 1–201.

(j) Training. Execution of training on prevention and elimination of sexual harassment and/or sexual misconduct will be included in counseling for leaders assigned that responsibility.

(k) Energy-informed actions. See AR 420–1. All officers and NCOs will discuss responsibilities regarding energy and water impacts and potential conservation measures in all decisions with subordinates as part of their counseling requirements.

(l) Casualty assistance officer. See AR 638–8.

(m) Promoting a climate of dignity and respect and eliminating sexual harassment and sexual assault. All officers and NCOs will include objectives for fostering a climate of dignity and respect and eliminating sexual assault and sexual harassment in their units on their support form.

(n) Equal opportunity and Equal Employment Opportunity Programs. All officers and NCOs will include and discuss objectives for supporting the EO and EEO Programs (see AR 600–20).

Section III

DA Form 67–10 Series and DA Form 2166–9 Series Roles and Responsibilities

3–6. Rated Soldier

The rated Soldier (officer or NCO) plays a significant role in counseling sessions and the evaluation process throughout the rating period. In the event of geographical separation, correspondence and telephone conversations will be used as alternatives to face-to-face counseling followed by face-to-face discussions between the rated Soldier and the rater at the earliest opportunity.

a. DA Form 67–10 series.

(1) *Beginning of the rating period.* Shortly after assuming duties, the rated officer will be provided with copies of the rater's and senior rater's DA Form 67–10–1A (or equivalent) along with the unit's mission, valid rating chain, duty description, and specified goals and objectives. The rated officer will—

(a) Draft their DA Form 67–10–1A within the first 30 days of the rating period, using the rater's and/or senior rater's DA Form 67–10-1As as input for goals and objectives. Submitting written performance objectives for approval must be followed up by a face-to-face counseling or an alternative follow-up discussion. A rated officer serving under dual supervision will include on their DA Form 67–10–1A goals and performance objectives for both rating chains. This increases rating officials' awareness of the rated officer's objectives and responsibilities related to the goals and missions of both chains of supervision.

(b) Have a face-to-face counseling session (or an alternative type of discussion) with the rater. A rated officer serving under dual supervision will have counseling sessions with rating officials from both rating chains.

(2) *During the rating period.* The rated officer will—

(a) Maintain a working copy of the DA Form 67–10–1A with the duties and objectives throughout the rating period. Rated officers will make additions or deletions to the duties and objectives on the working copy as changes occur and will discuss any changes to the working copy with raters. Follow-up face-to-face counseling is the most effective forum for these updates. Counseling should focus on learning that occurred, the rated officer's progression toward meeting goals and objectives, and what the officer needs to complete or improve upon in their duty performance.

(b) Include the requirement to file Office of Government Ethics (OGE) Form 278 (Executive Branch Personnel Public Financial Disclosure Report) or OGE Form 450 (Confidential Financial Disclosure Report) as a result of assigned duties on DA Form 67–10–1A, part IV, block a, if applicable. To determine whether they are required to file such forms, officers will consult their command ethics counselor or Staff Judge Advocate (SJA). Additional information can be found in DoD 5500.07–R.

(3) *End of the rating period.* The rated officer will prepare a final DA Form 67–10–1A at the end of the rating period, sign, date, and submit form to the rater. Dates of the initial and follow-up discussions from the working copy of DA Form 67–10–1A will be re-entered with initials on the final copy of the DA Form 67–10–1A (see DA Pam 623–3 for procedural guidance). The final DA Form 67–10–1A will be considered by the rating officials in preparing OERs. A rated officer serving under dual supervision will prepare a final DA Form 67–10–1A for both supervisors.

b. DA Form 2166–9 series.

(1) *Beginning of the rating period.* Use of DA Form 2166–9–1A is mandatory during counseling of all NCOs, CPL through CSM. The purpose of the DA Form 2166–9–1A is to improve counseling by providing structure and discipline to the process described in ATP 6–22.1 and DA Pam 623–3. Shortly after assuming duties, the rated NCO will be provided with copies of the rater's and senior rater's DA Form 2166–9–1A or DA Form 67–10–1A (or equivalent and as appropriate) along with the unit's mission, valid rating chain, duty description, and specified goals and objectives. The rated NCO will—

(a) Draft and provide performance goals and expectations for use in part IV on DA Form 2166–9–1A.

(b) Draft and provide major performance objectives for consideration in part V, blocks a through f, on DA Form 2166–9–1A. The rater's and senior rater's support forms (or equivalent) will be used as input when developing goals and objectives.

(c) Discuss, review, and receive approval from the rater for goals and expectations in part IV and major performance objectives in part V, blocks a through f, on DA Form 2166–9–1A within the first 30 days of the rating period. The rater's or senior rater's support forms (or equivalent) will be used as input when developing goals and objectives during discussions.

(d) Have a face-to-face counseling session (or an alternative type of discussion) with the rater. The rated NCO will verify the face-to-face discussion by dating and initialing the DA Form 2166–9–1A (see DA Pam 623–3 for procedural guidance).

(2) *During the rating period.* The rated NCO will—

(a) Maintain a personal working copy of the most recent DA Form 2166–9–1A as feedback and guidance are provided by the rater during counseling sessions. Follow-up face-to-face counseling is the most effective forum for these updates. Counseling should focus on learning that occurred (without dwelling on the past), the rated NCO's progression toward meeting goals and objectives, and what the NCO needs to complete or improve upon in their duty performance.

(b) The rated NCO will verify the face-to-face discussion by dating and initialing the DA Form 2166–9–1A (see DA Pam 623–3 for procedural guidance).

(3) *End of the rating period.* Rated NCOs will not prepare their own final DA Form 2166–9–1A but may provide input to rating officials to assist them with completion of the final DA Form 2166–9–1A. Dates of the initial and follow-up discussions from the working copy of DA Form 2166–9–1A will be re-entered with initials on the final copy of the DA Form 2166–9–1A (see DA Pam 623–3 for procedural guidance). The final DA Form 2166–9–1A will be considered by rating officials in preparing NCOERs.

3–7. Rater

The rater has immediate responsibility for counseling a rated Soldier and directing their performance. The rater will provide a copy of their support form to the rated Soldier at the beginning of the rating period.

a. For DA Form 67–10 series.

(1) *Beginning of the rating period.* Shortly after the rated officer assumes their duties, the rater will provide the rated officer copies of the rater's and senior rater's DA Form 67–10–1A, mission, and/or objectives. This action ensures the rated officer knows their rating chain and has the necessary input to properly determine and prioritize responsibilities and performance objectives.

(a) The rater will conduct a face-to-face counseling session with the rated officer within the first 30 days of the rating period. This initial discussion will focus on duties, responsibilities, and performance objectives of the rated officer. The rater will discuss and establish goals that promote and support a healthy workplace environment conducive to the growth and development of the rated officer. The rater will also discuss and establish goals for supporting the EO and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP Program, preventing and eliminating sexual harassment and sexual assault. While correspondence and telephone conversations may be used as an alternative because of geographic separation, these will be followed by a face-to-face discussion between the rated officer and rater at the earliest opportunity. Simply requiring the rated officer to submit written performance objectives on DA Form 67–10–1A at the beginning of the rating period without a follow-up face-to-face meeting is an unacceptable shortcut of this provision.

(b) For a rated officer serving under dual supervision, the rater will ensure that a rated officer is notified of the additional chain of supervision. An officer acting as the additional rating official in a dual supervision situation will also assume the appropriate responsibilities of the rater in providing a copy of their DA Form 67–10–1A and developing the separate DA Form 67–10–1A (see para 2–21).

(c) For DA Form 67–10–1A, see DA Pam 623–3 for procedural guidance.

(2) *During the rating period.* Throughout the rating period, the rater will conduct periodic individual, follow-up face-to-face counseling with the rated officer. These counseling sessions differ from the first counseling session in that the primary focus is on the rater informing the rated officer how well they are performing and how they can perform better and to update the duty description, as necessary.

(a) Quarterly counseling is mandatory for Regular Army, AGR, and USAR on active duty tours for CPTs, LTs, CW2s, and WO1s. Field grade follow-up counseling is on an as-needed basis. As a rated officer's duty description, objectives, or focus areas change throughout the rating period, the rater will counsel the rated officer and update the DA Form 67–10–1A appropriately. Follow-up counseling for ARNG officers in these grades will occur at least semiannually.

(b) Raters will conduct follow-up counseling sessions quarterly for Regular Army and AGR officers and at least semiannually for USAR TPU, DIMA, and drilling IRR officers, including IMA general officers, and ARNG officers (in accordance with apps G and H).

(c) Raters are required to articulate their developmental counseling responsibilities, as major performance objectives, on their DA Form 67–10–1A, part IV, block c.

(3) *End of the rating period.* The rater will review the final DA Form 67–10–1A when preparing OERs. Afterwards, they will initial and date the form to acknowledge the review. The rater will include the duty description from the rated officer's final DA Form 67–10–1A and may include performance-related information. However, the choice of what to enter on the OER is ultimately up to the rater.

(a) The rater is responsible for completing parts I, II, III, and IV of the OER, including the APFT performance entry and date and the height and weight entry including verification of compliance with AR 600–9 in part IV, block a (or an explanation of missing APFT and/or height and weight entries). Raters of field grade plate officers may identify and list up to three broadening and three operational assignments, by job title. Raters of strategic grade plate officers may identify strategic assignments (see DA Pam 623–3 for procedural guidance).

(b) Part IV will be an assessment of a rated officer's professionalism, performance, and adherence to the attributes and core leader competencies of the Army Leadership Requirements Model (including the APFT, height and weight entries, and entry of compliance/noncompliance with AR 600–9), focusing on what a leader is (attributes) and what a leader does (competencies) during the rating period (see ADP/ADRP 6–22). Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army officer. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. The Army Values of empathy, warrior ethos, and

discipline are critical attributes that define a leader's character and apply across all grades, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective Officer Corps. The OER incorporates the Army Leadership Requirements Model to emphasize and reinforce professionalism (see ADP/ADRP 6–22).

1. Performance evaluations are assessments of how well the rated officer met duty requirements and adhered to the professional standards of the Officer Corps. Performance is evaluated by considering the results achieved, how they were achieved, and how well the officer complied with professional standards.

2. Raters will comment on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

a) This assessment should identify, as appropriate, any significant actions or contributions the rated officer made toward promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.

b) This assessment should also identify any failures by the rated officer to foster a climate of dignity and respect and adhere to the SHARP Program.

c) Raters will comment on any substantiated finding, in a finalized Army or DoD investigation or inquiry, that the rated officer committed an act of sexual harassment or sexual assault, failed to report a sexual harassment or sexual assault, failed to respond to a complaint or report of sexual harassment or sexual assault, or retaliated against a person making a complaint or report of sexual harassment or sexual assault.

(c) Raters on DA Form 67–10–1 and DA Form 67–10–2 are limited to performance-based assessments. DA Form 67–10–1, part IV, block b. and DA Form 67–10–2, part IV, block e. will be an overall performance assessment of the rated officer during the rating period. This overall performance assessment is evaluated in terms of the rated officer compared against the total population of officers, in the same rank, the rater previously rated or currently rates in their population. If the performance assessment is consistent with the majority of officers in that rank, the rater will place an "X" in the "Proficient" box. If the rated officer's performance exceeds that of the majority of officers in the rater's population, the rater will place an "X" in the "Excels" box. The intent is for the rater to use this box to identify the upper third of officers for each rank.

1. In order to maintain a credible profile, the rater must have less than 50 percent of the ratings of each rank in the "Excels" box. OERs with an "Excels" rating that causes a rater's profile to have 50 percent or more "Excels" ratings will be processed with a "Proficient" HQDA electronically generated label (see DA Pam 623–3); however, it will be charged against the rater's profile as an "Excels," and a documented rater profile misfire will occur. To ensure maximum rating flexibility when rating populations change, or to preclude an "Excels" box check from profiling as a "Proficient" rating, raters need to maintain a "cushion" in the number of "Excels" ratings given. Raters may consider limiting the use of the "Excels" rating box check to roughly one-third of all ratings for officers of a given rank, but this is not a requirement.

2. Promotable officers with a "P" after their current rated rank and serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On Rater Profile reports, they will be profiled against the next higher rank. See paragraph 4–7*g* for important information concerning administrative corrections.

3. If the rated officer's performance is below the majority of officers in the rater's population for that rank, and the rater believes the rated officer should be further developed, the rater will place an "X" in the "Capable" box. If the rated officer's performance is below the majority of officers in the rater's population for that rank, and the rater believes the rated officer's performance does not met standards required of an Army officer, the rater will place an "X" in the "Unsatisfactory" box.

4. Comments are mandatory and should compare the performance of the rated officer with their contemporaries during the evaluation period. The focus is on the results achieved and the manner by which they were achieved.

5. To provide raters flexibility when initially establishing a rater profile, the rater will be given a one-time profile credit of three "Proficient" box checks, for each rated rank, the first time they rate a specific rank. This provides flexibility and enables raters first establishing a profile (separated by rank) the ability to use the "Excels" box immediately and eliminates some issues associated with immature profiles (small populations).

(d) Raters on DA Form 67–10–3 provide performance and potential assessments. DA Form 67–10–3, part IV, block c2, will be an assessment of the rated officer's performance and an assessment of the rated officer's potential during the rating period. The rater must capture the rated officer's performance during the evaluation period as it relates to the Leadership Requirements Model using concise narrative format (see ADP/ADRP 6–22). Potential evaluations are performance-based assessments of the rated officer's ability compared to that of their contemporaries. Assessments of potential apply regardless of their opportunity to be selected for higher positions or grades. It does not

take into account such factors as impending release from active duty or retirement; this assessment is continually changing and is reserved for HQDA. Potential comments should primarily focus on the rated officer's potential for promotion, command, schooling (military and civilian), broadening/strategic assignments, successive duty assignments and level of assignments, and/or retention, when applicable.

(e) OERs are processed and profiled and the HQDA electronically generated labels are applied daily as OERs are received, regardless of the "Thru" date of the OER and the rater's signature date.

(f) A rater's overall performance assessment counts toward the rater's profile when the rater selects the LOCK feature associated to the rater's overall performance assessment when completing the OER using EES. OERs prepared outside of EES and submitted to HQDA for processing using an alternate method will count towards the rater's profile upon receipt of the OER at HQDA. Proper sequence management of an overall performance assessment LOCK selection is linked directly to profile management and is the responsibility of the rater to maintain compliance. OERs impacts Soldiers' personnel actions, especially those concerning HQDA selection boards. An OER failing to process in the sequence desired by the rater causing a profile misfire due to improper profile management is not a basis for appealing the OER.

(g) The rater will forward to the senior rater (or intermediate rater, if applicable) the DA Form 67–10–1A and OER with their portions completed.

b. For DA Form 2166–9 series.

(1) *Beginning of the rating period.* Use of DA Form 2166–9–1A is mandatory during counseling of all NCOs, CPL through CSM. The purpose of the DA Form 2166–9–1A is to improve counseling by providing structure and discipline to the process described in ATP 6–22.1 and DA Pam 623–3.

(a) Shortly after the rated NCO assumes their duties, the rater will provide copies of the rater's and senior rater's DA Form 2166–9–1A or DA Form 67–10–1A (or equivalent and as appropriate) along with the unit's mission, valid rating chain, duty description, and specified goals and objectives. The rater will conduct a face-to-face counseling session with the rated NCO and initiate DA Form 2166–9–1A within the first 30 days of the rating period. This initial discussion will establish duties, responsibilities, and performance objectives for the rated NCO on DA Form 2166–9–1A.

(b) The rater will discuss and establish goals that promote/support a healthy workplace environment conducive to the growth and development of the rated NCO. The rater will also discuss and establish goals for supporting EO and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP Program, preventing and eliminating sexual harassment and sexual assault.

(c) While correspondence and telephone conversations may be used as an alternative because of geographic separation, these will be followed by a face-to-face discussion between the rated NCO and rater at the earliest opportunity. Simply requiring the rated NCO to submit written performance objectives on DA Form 2166–9–1A at the beginning of the rating period without a follow-up face-to-face meeting is an unacceptable shortcut of this provision.

(d) The rater will initial the DA Form 2166–9–1A and will forward it to the rated NCO's senior rater for comment and input. The rater's initials verify the face-to-face counseling for DA Form 2166–9–1A.

(e) Upon the senior rater returning DA Form 2166–9–1A with comments and input, the rater will provide a copy of the discussed DA Form 2166–9–1A to the rated NCO and will notify them of any changes (see DA Pam 623–3 for procedural guidance).

(2) *During the rating period.* Throughout the rating period, the rater will conduct periodic individual, follow-up face-to-face counseling with the rated NCO. These counseling sessions differ from the first counseling session in that the primary focus is on the rater informing the rated NCO how well they are performing and how they can perform better and to update the duty description and performance objectives as necessary.

(a) Raters will conduct follow-up counseling sessions quarterly for Regular Army and AGR NCOs and at least semiannually for USAR TPU, DIMA, and drilling IRR NCOs and ARNG NCOs (in accordance with apps G and H).

(b) As a rated NCO's duty description, objectives, or focus areas change throughout the rating period, the rater will counsel the rated NCO and update the DA Form 2166–9–1A appropriately.

(c) The rater is responsible for completing parts I, II, III, and V of the DA Form 2166–9–1A, including the APFT performance entry and date, and the height and weight entry to include verification of compliance with AR 600–9 in part V (or an explanation of missing APFT and/or height and weight entries) (see DA Pam 623–3 for procedural guidance).

(d) Raters will evaluate the performance of rated NCOs, SGT through CSM, using all reasonable means and prepare a fair and accurate assessment, identifying significant contributions and accomplishments. NCOs in the rank of CPL do not receive NCOERs, however rating officials of NCOs in the rank of CPL are required to capture this assessment on DA Form 2166–9–1A.*(e)* Assessments will be captured on DA Form 2166–9–1A. A draft DA Form 2166–9 series (NCOER) may also be used during the counseling session. The rater completes parts I, II, III, and IV

of the draft DA Form 2166–9 series (NCOER), including the APFT performance entry and date, and the height and weight entry to include verification of compliance with AR 600–9 in part V (or an explanation of missing APFT and/or height and weight entries) (see DA Pam 623–3 for procedural guidance).

(e) Special care will be taken to ensure specific bullet comments support appropriate "Far Exceeded Standard," "Exceeded Standard," "Met Standard," and "Did Not Meet Standard" ratings in corresponding blocks of part IV, DA Form 2166–9 series (NCOER) (see DA Pam 623–3).

(f) The rater will initial the DA Form 2166–9–1A and will forward it to the rated NCO's senior rater for comment and input, as needed. The rater's initials verify the face-to-face counseling (see DA Pam 623–3 for procedural guidance).

(g) Upon receiving comment and input from the senior rater, the rater will provide a copy of the discussed DA Form 2166–9–1A to the rated NCO and will notify them of any changes.

(3) *End of the rating period.* The rater will review the final DA Form 2166–9–1A when preparing NCOERs. Afterwards, they will initial and date the form to acknowledge the review. The rater will include the duty description from the rated NCO's final DA Form 2166–9-1As and may include performance-related information. However, the choice of what to enter on the NCOER is ultimately up to the rater.

(a) The rater is responsible for completing parts I, II, III, and IV of the final NCOER including APFT performance entry and date, and the height and weight entry including verification of compliance of AR 600–9 in part IV, block a and b (or an explanation of missing APFT and/or height and weight entries). See DA Pam 623–3 for procedural guidance.*(b)*For DA Form 2166–9–1 and DA Form 2166–9–2, raters will use bullet format for comments in part IV for these NCOERs. For DA Form 2166–9–3, raters will use narrative format when entering comments in part IV.

(b) Part IV will be an assessment of a rated NCO's professionalism, performance, and adherence to the attributes and core leader competencies of the Army Leadership Requirements Model (including the APFT, height and weight entries, and entry of compliance/noncompliance with AR 600–9), focusing on what a leader is (attributes) and what a leader does (competencies) during the rating period (see ADP/ADRP 6–22). Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army NCO. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. The Army Values, of empathy, warrior ethos, and discipline are critical attributes that define a leader's character and apply across all grades, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective NCO Corps. The NCOER incorporates the Army Leadership Requirements Model to emphasize and reinforce professionalism (see ADP/ADRP 6–22).

1. Performance assessments are centered on how well the rated NCO met duty requirements and adhered to the professional standards of the NCO Corps. Performance is evaluated by considering the results achieved, how they were achieved, and how well the NCO complied with professional standards.

2. Raters will comment on how well the rated NCO promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

a) This assessment should identify, as appropriate, any significant actions or contributions the rated NCO made toward promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.

b) This assessment should also identify any failures by the rated NCO to foster a climate of dignity and respect and adhere to the SHARP Program.

c) Raters will comment on any substantiated finding, in a finalized Army or DoD investigation or inquiry, that the rated NCO committed an act of sexual harassment or sexual assault, failed to report a sexual harassment or sexual assault, failed to respond to a complaint or report of sexual harassment or sexual assault, or retaliated against a person making a complaint or report of sexual harassment or sexual assault.

3. Assessments of potential are performance-based assessments of the rated NCO's ability compared to that of their contemporaries. Assessment of potential applies to all NCOs, regardless of their opportunity to be selected for higher positions or grades. It does not take into account such factors as impending release from active duty or retirement; assessments of potential continually change and is reserved for HQDA.

(c) DA Form 2166–9–1, part IV, block i, will be an assessment of the rated NCO's overall performance during the rating period. This performance is evaluated in terms of the rated NCO compared against other NCOs of the same rank the rater currently (and previously) rates. Comments (in bullet format) are mandatory and should compare the

performance of the rated NCO with their contemporaries during the evaluation period. The focus is on results achieved and the manner by which they were achieved.

(d) DA Form 2166–9–2, part IV, block i, and DA Form 2166–9–3, block e, block checks will be an assessment of the rated NCO's overall performance during the rating period. This performance is evaluated in terms of the rated NCO compared against other NCOs of the same rank the rater currently (and previously) rates. Comments (bullet format for DA Form 2166–9–2 and narrative format for DA Form 2166–9–3) are mandatory and should compare the performance of the rated NCO with their contemporaries during the evaluation period. The focus is on results achieved and the manner by which they were achieved. If the rated NCO successfully achieves and maintains the required Army and organizational standards of leader competencies and attributes consistent with the majority of NCOs in that grade of the rater's population, the rater will place an "X" in the "Met Standard" box. If the rated NCO's demonstrated performance surpasses the required Army and organizational standards of leader competencies and attributes of the majority NCOs in that grade of the rater's population, the rater will place an "X" in either "Exceeded Standard" or "Far Exceeded Standard" box. The rater will use "Exceeded Standard" and "Far Exceeded Standard" box to identify the upper third of NCOs for each rank, with further stratification of the upper third by use of the "Far Exceeded Standard" box. If the rated NCO unsuccessfully achieves and maintains the required Army and organizational standards of leader competencies and attributes and performance is below the majority of NCOs in the rater's population for that grade, and the rated NCO's performance has not met standards required of an Army NCO, the rater will place an "X" in the "Did Not Meet Standard" box.

(e) The rater will forward both the NCOER and the final DA Form 2166–9–1A to the senior rater with their portions completed.

3–8. Intermediate rater (DA Form 67–10 series only)

If an intermediate rater exists in the rating chain, they will receive a copy of the rated officer's DA Form 67–10–1A with the rated officer's goals and objectives at the beginning of the rating period and a completed DA Form 67–10–1A, which includes the rated officer's contributions, at the end of the rating period.

a. The intermediate rater will—

(1) Review the rated officer's final DA Form 67–10–1A when preparing the OER. The narrative in the OER, part V, may be based on the rated officer's final DA Form 67–10–1A.

(2) Complete the OER, part V (see DA Pam 623–3 for procedural guidance). This is the only part completed by the intermediate rater and will be an assessment of the officer's performance and potential during the rating period.

(a) Performance evaluations are assessments on how well the rated officer met duty requirements and adhered to the professional standards of the Officer Corps. Performance is evaluated by considering the results achieved, how they were achieved, and how well the officer complied with professional standards.

(b) Potential evaluations are performance-based assessments of the rated officer's ability, compared to that of their contemporaries. Assessment of potential applies to all officers, regardless of their opportunity to be selected for higher positions or grades. It does not take into account such factors as impending release from active duty or retirement; this assessment is continually changing and is reserved for HQDA.

(3) Forward both the final DA Form 67–10–1A and OER to the senior rater.

b. Refer to specific requirements for officers under dual supervision (see para 2–21), chaplains (see app C), and JAGC officers, if applicable (see app D).

3–9. Senior rater

Each rated Soldier will receive a copy of the senior rater's support form at the beginning of the rating period.

a. For DA Form 67–10 series.

(1) *Beginning of the rating period.* After the rater has conducted a face-to-face counseling session with the rated officer, the senior rater will—

(a) Review, approve, and initial the draft DA Form 67–10–1A.

(b) Ensure that DA Form 67–10–1A is returned to the rater and rated officer.

(2) *During the rating period.* The senior rater will obtain, through a variety of means (for example, personal observation and/or various forms of communication from the rater, rated officer, and/or others) information regarding the rated officer's duty performance and potential.

(3) *End of the rating period.* The senior rater will—

(a) Review the completed DA Form 67–10–1A at the time the OER is prepared. Afterwards, the senior rater will initial and date the DA Form 67–10–1A to acknowledge the review.

(b) Complete the OER, part VI, blocks a through d, for DA Form 67–10–1, DA Form 67–10–2, and DA Form 67–10–3, and part V for DA Form 67–10–4 (see DA Pam 623–3 for procedural guidance).

(c) Complete the OER, part VI, block a, for officers in ranks of 2LT through COL and warrant officers in ranks of WO1 through CW4. Warrant officers with the designated rank of CW4P and rank of CW5 do not receive a part VI, block a box check selection.

1. For DA Form 67–10–1 and DA Form 67–10–2, part VI, block a, the senior rater will assess the rated officer's potential compared to all officers of the same rank. This assessment should be based on officers the senior rater has previously senior rated and those in their current senior rater population.

a) If the potential assessment is consistent with the majority of officers in that rank, the senior rater will place an "X" in the "Highly Qualified" box. If the rated officer's potential exceeds that of the majority of officers in the senior rater's population, the senior rater will place an "X" in the "Most Qualified" box. The intent is for the senior rater to use this box to identify the upper third of officers for each rank.

b) In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings of a rank in the "Most Qualified" top box. Fifty percent or more in the "Most Qualified" ratings will be processed with a "Highly Qualified" HQDA electronically generated label (see DA Pam 623–3); however, it will be charged against the senior rater's profile as a "Most Qualified" OER if it is unresolved, and a documented senior rater profile misfire will occur. To ensure maximum rating flexibility when rating populations change, or to preclude an "Most Qualified" box check from profiling as a "Highly Qualified" rating, senior raters need to maintain a "cushion" in the number of "Most Qualified" ratings given. Senior raters may consider limiting the use of the "Most Qualified" rating box check to roughly one-third of all ratings for officers of a given rank, but this is not a requirement.

c) Promotable officers with a "P" after their current rated rank and serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On Senior Rater Profile reports, they will be profiled against the next higher rank. See paragraph 4–7*g* for important information concerning administrative corrections.

d) If the rated officer's potential is adequate, but beneath the majority of officers in the senior rater's population for that rank, and the senior rater believes the rated officer should be retained for further development, the senior rater will place an "X" in the "Qualified" box. If the rated officer's potential is below the majority of officers in the senior rater's population for that rank and the senior rater does not believe the rated officer should be retained on active duty, the senior rater will place an "X" in the "Not Qualified" box.

e) For senior raters first establishing a profile (separate by rank), only one of the first four OERs received for processing at HQDA for any given grade may be rated as "Most Qualified."

2. For DA Form 67–10–3, part VI, block a, the senior rater will assess the rated officer's potential compared to all officers of the same rank. This assessment should be based on officers the senior rater has previously senior rated and those in their current senior rater population.

a) If the potential assessment is consistent with the majority of officers in that grade, the senior rater will place an "X" in the "Retain as Colonel" box. If the rated officer's potential exceeds that of the majority of officers in the senior rater's population, the senior rater will place an "X" in the "Promote to BG" or "Multi-Star Potential" box, as applicable. The senior rater will use these upper two boxes when identifying the upper third of officers for each rank, with further stratification by use of the "Multi-Star Potential" box, as applicable. If the rated officer's potential is below the majority of officers in the senior rater's population for that grade, and the senior rater does not believe the rated officer should be retained on active duty, the senior rater will place an "X" in the "Unsatisfactory" box.

b) In order to maintain a credible profile, senior raters must maintain a cumulative percentage of the upper two boxes combined ("Multi-Star Potential" and "Promote to BG") of less than 50 percent of the ratings for a given rank and/or the "Multi-Star Potential" box having less than 24 percent of the ratings for a given rank. A report with a "Multi-Star Potential" rating that causes a senior rater's profile to exceed 24 percent of ratings for a given rank will be processed as a "Promote to BG" only if the cumulative percentage of the upper two boxes combined ("Multi-Star Potential" and "Promote to BG") is less than 50 percent of ratings for a given rank. If the combined cumulative percentage of the upper two boxes is 50 percent or more, the report will then be processed with a "Retain as Colonel" HQDA electronically generated label. A report with a "Promote to BG" rating that causes a senior rater's profile cumulative percentage of the upper two boxes combined of 50 percent or more of the ratings for a given rank will be processed with a "Retain as Colonel" HQDA electronically generated label. A one-time senior rater credit of 5 "Retain as Colonel" ratings will be awarded to the senior rater's profile when first assessing a COL/O6 officer, allowing use of the top two boxes ("Multi-Star Potential" and "Promote to BG") immediately. This provides flexibility to senior raters and eliminates some of the issues associated with immature profiles (small populations).

3. All OERs will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the OER processes, based on the date of receipt.

4. Officers who are both promotable and serving in any documented position authorized for the next higher rank will have a "P" identifier with their rank on their OERs, part I. The "P" identifier indicates that the officer's OER will be profiled (part VI, block a) with those of the next higher rank. (See para 2–11 for ARNG-specific requirements.)

5. The officer's overall potential is an assessment of the rated officer's overall potential when compared with all other officers of the same rank the senior rater has previously rated or currently has in their population.

6. The senior rater will enter the total number of Army officers of the same rank as the rated officer they currently senior rate (for DA Form 67–10–1, DA Form 67–10–2, and DA Form 67–10–3). This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify senior raters with small rating populations and weigh the report accordingly.

7. The narrative for part VI, block c, on DA Form 67–10–1, DA Form 67–10–2, and DA Form 67–10–3, and part V on DA Form 67–10–4 may be based in part on the rated officer's final DA Form 67–10–1A. However, the choice of what to enter on the OER is ultimately up to the senior rater.

8. Senior raters will comment on any substantiated finding in a finalized Army or DoD investigation or inquiry that a rated officer committed an act of sexual harassment or sexual assault, failed to report a sexual harassment or assault, failed to respond to a complaint or report of sexual harassment or sexual assault, or retaliated against a person making a complaint or report of sexual harassment or sexual assault.

9. The senior rater will identify successive duty positions on DA Form 67–10–1, DA Form 67–10–2, and DA Form 67–10–3, to include retirement and "Relief for Cause" OERs for which the rated officer is best suited, focusing 3 to 5 years out. An exception to this rule exists for OERs on which the rater indicates "Unsatisfactory" and the senior rater indicates a rating of "Not Qualified" (for DA Form 67–10–1 and DA Form 67–10–2), or when rater performance and potential comments require the evaluation report to be referred and the senior rater indicates "Unsatisfactory" (for DA Form 67–10–3). On these OERs only, no successive duty positions are required (DA Pam 623–3).

(d) Initial the final DA Form 67–10–1A to verify review and ensure it is returned to the rated officer.

(e) Forward the completed OER to the officer for signature before processing to HQDA.

(f) Ensure timely submission of OERs to HQDA (to arrive no later than 90 days after the "Thru" date of the OER or as stipulated in a MILPER message announcing an HQDA-level selection board), and to ensure submission of OERs result in the desired receipt to HQDA specific to the senior rater's profile (in other words, sequencing), for processing at HQDA and filing in the rated officer's AMHRR. The senior rater maintains responsibility for the OER until it is filed in the AMHRR.

1. OERs are processed and profiled and the HQDA electronically generated labels are applied daily as OERs are received, regardless of the "Thru" date of the OER and the senior rater's signature date.

2. An OER failing to process in the sequence desired by the senior rater is not a basis for appealing the OER. Proper sequencing of OERs impacts Soldiers' personnel actions, especially those concerning HQDA selection boards.

3. "Complete the Record" and other types of evaluation reports for HQDA-level board consideration must be submitted in time to arrive no later than the date established in the MILPER message announcing the board.

4. EES and the Senior Rater Evaluation Timeliness report, a component of the Senior Rater Profile report, are tools to assist senior raters in fulfilling their responsibilities.

b. For DA Form 2166–9 series.

(1) *Beginning of the rating period.* After the rater has conducted a face-to-face counseling session with the rated NCO, the senior rater should have a face-to-face counseling session (or an alternative type of discussion) with the rated NCO. The intent is to counsel the NCO initially within the first 30 days followed by counseling at the midpoint for the evaluation period. The senior rater should verify the face-to-face discussion by dating and initialing the DA Form 2166–9–1A (see DA Pam 623–3 for procedural guidance). The senior rater will—

(a) Review, approve, provide comments, and initial the draft DA Form 2166–9–1A to verify the face-to-face counseling between the rater and the rated NCO. The senior rater will also ensure compliance with Army evaluation counseling requirements.

(b) Ensure that DA Form 2166–9–1A is returned to the rater and rated NCO.

(2) *During the rating period.* The senior rater will obtain, through a variety of means (for example, personal observation and/or various forms of communication from the rater, rated NCO, and/or others), information regarding the rated NCO's duty performance and potential, and mentor subordinates, as appropriate.

(3) *End of the rating period.* The senior rater is primarily responsible for evaluating the NCO's potential and providing oversight of the evaluation process. The senior rater will—

(a) Review the completed DA Form 2166–9–1A at the time the NCOER is prepared. Afterwards, the senior rater will initial and date the DA Form 2166–9–1A to acknowledge the review.

(b) Complete the NCOER, part V, blocks a through c, for DA Form 2166–9 series (NCOER) (see DA Pam 623–3 for procedural guidance).

1. For DA Form 2166–9–1, part V, block a, the senior rater will assess the rated NCO's potential compared to all NCOs of the same rank. This assessment should be based on NCOs the senior rater has previously senior rated and those in their current senior rater population.

a) If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will place an "X" in the "Highly Qualified" box. If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, the senior rater will place an "X" in the "Most Qualified" box. If the rated NCO's potential is adequate, but beneath the majority of NCOs in the senior rater's population for that grade and the senior rater believes the rated NCO has potential with further development, the senior rater will place an "X" in the "Qualified" box. If the rated NCO's potential is below the majority of NCOs in the senior rater's population for that grade and the senior rater does not believe the rated NCO should be retained on active duty, the senior rater will place an "X" in the "Not Qualified" box.

b) The intent is for the senior rater to use the "Most Qualified" box selection to identify the upper-tier, which is limited to the top 24 percent of the NCOs rated at each rank.

2. For DA Form 2166–9–2 and DA Form 2166–9–3, part V, block a, the senior rater will assess the rated NCO's potential compared to all NCOs of the same rank. This assessment should be based on NCOs the senior rater has previously senior rated and those in their current senior rater population.

a) If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will place an "X" in the "Highly Qualified" box. If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, the senior rater will place an "X" in the "Most Qualified" box. The intent is for the senior rater to use this box to identify the upper-tier of NCOs for each grade.

b) In order to maintain a credible profile, the senior rater must have no more than 24 percent of the ratings of a grade in the "Most Qualified" top box. More than 24 percent in the "Most Qualified" box will result in a "Highly Qualified" HQDA electronically generated label (see DA Pam 623–3); however, it will be charged against the senior rater's profile as a "Most Qualified" NCOER if it is unresolved, and a documented senior rater profile misfire will occur. To ensure maximum rating flexibility when rating populations change or to preclude a "Most Qualified" box selection from profiling as a "Highly Qualified" rating, senior raters need to maintain a "cushion" in the number of "Most Qualified" ratings given, rather than residing on the line at 24 percent. Senior raters may consider limiting the use of the "Most Qualified" rating box check of all ratings for NCOs of a given rank, but this is not a requirement.

c) If the rated NCO's potential is adequate, but beneath the majority of NCOs in the senior rater's population for that grade and the senior rater believes the rated NCO has potential with further development, the senior rater will place an "X" in the "Qualified" box. If the rated NCO's potential is below the majority of NCOs in the senior rater's population for that grade and the senior rater does not believe the rated NCO should be retained on active duty, the senior rater will place an "X" in the "Not Qualified" box.

d) Promotable NCOs with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as NCOs of the next higher rank in making comparative assessments with contemporaries. (See para 4–7*g* for important information concerning administrative corrections.)

e) For senior raters first establishing a profile (separate by grade), only one of the first eight NCOERs received for processing at HQDA for any given grade may be rated as "Most Qualified."

f) All NCOERs will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the NCOER processes, based on the date of receipt. Rated NCOs who are promotable/selected to attend USASMA and serving in a documented position authorized for the next higher rank will have a "P" identifier with their rank on the rated NCOs NCOER in part I. For SSGs and above, the "P" identifier indicates that the NCO's NCOER will be profiled (part V, block a) with those of the next higher rank. When applicable, the appropriate DA Form 2166–9 series (NCOER) form for the next higher grade will be used to evaluate the promotable NCO.

g) SGTP reports will not be included or count towards the senior rater's SSG profile.

3. The NCO's overall potential is an assessment of the rated NCO's overall potential when compared with all other NCOs of the same rank the senior rater has previously rated, or currently has in their population.

4. The senior rater will enter the total number of Army NCOs of the same rank as the rated NCO they currently senior rate. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify senior raters with small rating populations and weigh the report accordingly.

5. The narrative for part V, block b, on DA Form 2166–9 series (NCOER) may be based in part on the rated NCO's final DA Form 2166–9–1A. However, the choice of what to enter on the NCOER is ultimately up to the senior rater.

6. Senior raters will comment on any substantiated finding, in a finalized Army or DoD investigation or inquiry, that a rated NCO committed an act of sexual harassment or sexual assault, failed to report a sexual harassment or

assault, failed to respond to a complaint or report of sexual harassment or sexual assault, or retaliated against a person making a complaint or report of sexual harassment or sexual assault.

7. The senior rater will identify two successive duty assignments and one broadening assignment for which the rated NCO is best suited, focusing 3 to 5 years out, to include retirement and "Relief for Cause" NCOERs. An exception to this rule exists for NCOERs on which the rater indicates "Did Not Meet Standard" either by box check or content within the rater's overall performance and the senior rater indicates a rating of "Not Qualified." On these NCOERs only, no successive duty and broadening assignment are required (DA Pam 623–3).

(c) Initial the final DA Form 2166–9–1A to verify review and ensure it is returned to the rated NCO.

(d) When applicable, enter a senior rater statement in part V, block b, of the NCOER explaining the reason why counseling was not accomplished when counseling was not completed and counseling dates are omitted from the NCOER.

(e) Forward the completed NCOER to the NCO for signature before processing to HQDA.

(f) Ensure timely submission of NCOERs to HQDA (to arrive no later than 90 days after the "Thru" date of the NCOER or as stipulated in a MILPER message announcing an HQDA-level selection board), in the desired sequence, for processing at HQDA and filing in the rated NCO's AMHRR. The senior rater maintains responsibility for the NCOER until it is filed in the AMHRR.

(g) NCOERs are processed and profiled and the HQDA electronically generated labels are applied daily as NCOERs are received, regardless of the "Thru" date of the NCOER and the senior rater's signature date.

(h) An NCOER failing to process in the sequence desired by the senior rater is not a basis for appealing the NCOER. Proper sequencing of NCOERs impacts Soldiers' personnel actions, especially those concerning HQDA selection boards.

(i) "Complete the Record" and other types of evaluation reports for HQDA-level board consideration must be submitted in time to arrive no later than the date established in the MILPER message announcing the board.

(j) EES and the Senior Rater Evaluation Timeliness report, a component of the Senior Rater Profile report, are tools to assist senior raters in fulfilling their responsibilities.

3–10. Supplementary reviewer (DA Form 67–10 series and DA Form 2166–9 series)

The supplementary reviewer has the overarching role of ensuring compliance with the evaluation reporting process, policy guidance of this regulation and procedural guidance in DA Pam 623–3, the accuracy of the completed report, and ensuring rating officials provide clear, concise, and effective written communication focused on the rated Soldier's career and professional development which allows effective decision making by HQDA. For both OERs and NCOERs, the review is normally an inherent responsibility of the senior rater. Instances exist for when supplementary reviews will be performed.

a. For OERs, a documented supplementary review will be performed by a uniformed Army advisor designated in the officer's rating chain who is senior to the rated officer and normally senior to the senior rater within the organization—

(1) When there are no uniformed Army designated rating officials for the rated officer.

(2) For "Relief for Cause" reports when the senior rater is the individual directing the relief.

(3) For "Relief for Cause" reports directed by an individual other than the rating officials.

b. For NCOERs, in instances when a rated NCO's rating chain includes a SGM/CSM, CW3 through CW5, or an Army officer in the rank of CPT or above as the senior rater, the senior rater will conduct the final rating chain review.

c. A documented supplementary review will be performed by a uniformed Army advisor in the rank of SGM/CSM, CW3 through CW5, or CPT and above designated in the NCO's rating chain, senior to the senior rater—

(1) When a senior rater within the rated NCO's rating chain is an NCO in the rank of SFC through MSG/1SG.

(2) When a senior rater within the rated NCO's rating chain is a warrant officer in the rank of WO1 through CW2.

(3) When a senior rater within the rated NCO's rating chain is an Army officer in the rank of 2LT through 1LT.

(4) When there are no uniformed Army designated rating officials for the rated NCO.

(5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of SGT through MSG/1SG.

(6) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of WO1 through CW2.

(7) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 2LT through 1LT.

(8) For all "Relief for Cause" evaluation reports when the senior rater is the individual directing the relief.

(9) For all "Relief for Cause" evaluation reports directed by an individual other than the rating officials. (See figs 2–3, 2–4, and 2–5.)

d. As an exception to requirements outlined in paragraph 3–10*c*, CSMs serving at the USASMA as Director, Sergeants Major Course or Director, Staff and Faculty may perform supplementary reviews for any NCO that their Deputy Director senior rates, without regard to date of rank. Additionally, the Commandant and Deputy Commandant at USASMA, both nominative CSMs (TDA remarks code 8C), may serve as supplementary reviewer on any NCOER for which the Director, Sergeants Major Course or Director, Staff and Faculty serves as senior rater.

Section IV

Rater Profile Report, Rater Tendency Report, Senior Rater Profile Report, and Senior Rater Evaluation Timeliness Report

3–11. Rater Profile (officer evaluation reports), Rater Tendency (noncommissioned officer evaluation reports), and Senior Rater Profile reports

a. Rater Profile report. Tracks the rating history of each rater for officers of all components by rank (2LT through LTC) and warrant officers by rank (WO1 through CW5). Raters do not maintain a profile on officers in the ranks of COL and above. Retired officers recalled to active duty are not included in the profile population (see paras 3–2*g* and 3–33). The information in the profile and other administrative information is available to the rater or rater's designated representative using the Rater Profile report.

(1) For officers in applicable ranks, the rater's profile as reflected on the Rater Profile report will—

(a) Emphasize the importance of the rater's role and responsibility to provide credible information to HQDA. This is one of the rater's most critical actions. It affects decisions regarding the Army's future leadership and has great impact on how the Army accomplishes its missions.

(b) Emphasize the importance of a rater's sequencing of OER submissions. Within a rater's profile, HQDA will always process OERs daily in the order received, based on the date and time of receipt, regardless of the "Thru" date of the OER.

(c) Provide information to HQDA selection boards and the Army leadership on the rater's profile history as a means of disciplining the rating system. For example, raters must maintain an "Excels" percentage of less than 50 percent for LTCs and below on company and field grade plate reports (see DA Pam 623–3).

(d) Continue without interruption as the rater (in either a military or civilian status) moves from job to job.

(e) Follow the rater as long as they are eligible to provide rater evaluations to Army officers in applicable grades.

(f) Be authorized for placement (first page summary) in the rater's AMHRR and may be updated annually or as necessary.

(2) The first page of the Rater Profile report consists of three sections. The top portion shows administrative data, the left side of the report shows current OER profile information (that is, profile information since the last restart), and the right side shows profile information that is cumulative, irrespective of any restart.

(3) The second (and subsequent, if any) page of a Rater Profile report provides a chronological by-name and by-rank list of all officers rated by the rating official and the HQDA electronically generated label applied to their OERs. (This listing allows raters the ability to check the system and track how and when their ratings are profiled at HQDA.) Within a rater's profile, HQDA will always process OERs in the order they are received.

(4) For assistance in managing rater profiles and OER sequencing, raters are encouraged to use EES and the online Rater Profile report. EES is designed to give visibility to raters and their designated representatives on the processing of OERs for the rater's profile. Users will need a common access card (CAC). EES and Rater Profile report are accessible at https://evaluations.hrc.army.mil/index.html.

(5) OERs received at HQDA containing an "Excels" rating for a particular grade not supported by the rater's profile (that is, a report received causing the rater's profile, for a particular grade, to be greater than the allowable percentage) will result in the OER receiving a "Proficient" HQDA label, with initial "Excels" rating counting against the rater's "Excels" quantities of the rater's profile. Raters for LTCs and below on company and field grade plate reports are required to maintain a rater's profile percentage of less than 50 percent for rendered OERs, separated by grade in order for the final completed OER to maintain the "Excels" HQDA label.

b. Rater Tendency report (for DA Form 2166–9–2 and DA Form 2166–9–3 noncommissioned officer evaluation reports). Tracks the rating history of each rater for NCOs for all components by rank (SSG through CSM). Raters do not maintain a "rating tendency" on NCOs in the rank of SGT and below. Retired NCOs recalled to active duty are not included in the tendency population (see paras 3–2*g* and 3–33). This information and other administrative information is available to the rater and senior rater using the Rater Tendency tool within EES. Individual raters may access the Rater Tendency report by logging in to EES website at https://evaluations.hrc.army.mil and selecting the Evaluation Status and Management Tools (ERS) button.

(1) For NCOs in applicable ranks, the rater's tendency as reflected on the Rater Tendency report will—

(a) Emphasize the importance of the rater's role and responsibility to provide credible information to HQDA. This is one of the rater's most critical actions. It affects decisions regarding the Army's future leadership and has great impact on how the Army accomplishes its missions.

(b) Emphasize the importance of a rater's sequencing of NCOER submissions. Within a rater's tendency, HQDA will always process NCOERs daily in the order received, based on the date and time of receipt, regardless of the "Thru" date of the NCOER.

(c) Provide information to HQDA selection boards and the Army leadership on the rater's tendency history as a means of disciplining the rating system. Evaluations received at HQDA will receive and display the rater's tendency history on completed NCOERs.

(d) Continue without interruption as the rater (in either a military or civilian status) moves from job to job.

(e) Follow the rater as long as they are eligible to provide rater evaluations to Army NCOs in applicable grades.

(f) Be authorized for placement (first page summary) in the rater's AMHRR and may be updated annually or as necessary.

(2) The first page of the Rater Tendency report consists of three sections. The top portion shows administrative data, the left side of the report shows current NCOER tendency information (that is, tendency information since the last restart), and the right side shows tendency information that is cumulative, irrespective of any restart.

(3) The second (and subsequent, if any) page of a Rater Tendency report provides a chronological by-name and by-rank list of all NCOs rated by the rating official and the HQDA electronically generated label applied to their NCOERs. (This listing allows raters the ability to check the system and track how and when their ratings are labeled at HQDA.) Within a rater's tendency, HQDA will always process NCOERs in the order they are received.

(4) For assistance in managing rater tendency and NCOER sequencing, raters are encouraged to use EES and the online Rater Tendency report. EES is designed to give visibility to raters on the processing of NCOERs for their rater's tendency. Users will need a CAC. EES and Rater Tendency report are accessible at https://evaluations.hrc.army.mil/index.html.

c. Senior Rater Profile report. Tracks the rating history of each senior rater for officers of all components by rank (2LT through COL), warrant officers by rank (WO1 through CW4), and NCOs by rank (SSG through CSM). Senior raters do not maintain a profile on officers in the ranks of BG, warrant officers in the ranks of CW5, and NCOs in the ranks of CPL through SGT. Retired officers and NCOs recalled to active duty are not included in the profile population (see paras 3–2*g* and 3–33). The information in the profile and other administrative information is available to the senior rater or senior rater's designated representative using the Senior Rater Profile report. In addition, this report provides information on the timeliness of a senior rater's OER and NCOER submissions to HQDA.

(1) For officers and NCOs in applicable ranks, the senior rater's profile as reflected on the Senior Rater Profile report will—

(a) Emphasize the importance of the senior rater's role and responsibility to provide credible information to HQDA. This is one of the senior rater's most critical actions. It affects decisions regarding the Army's future leadership and has great impact on how the Army accomplishes its missions.

(b) Emphasize the importance of a senior rater's sequencing of OER and NCOER submissions. Within a senior rater's profile, HQDA will always process OERs and NCOERs daily in the order received, based on the date and time of receipt, regardless of the "Thru" date of the OER or NCOER.

(c) Provide information to HQDA selection boards and the Army leadership on the senior rater's profile history as a means of disciplining the rating system. For example, senior raters must maintain a "Most Qualified" percentage of less than 50 percent on OERs and 24 percent or less on NCOERs (see DA Pam 623–3).

(d) Continue without interruption as the senior rater (in either a military or civilian status) moves from job to job.

(e) Follow the senior rater as long as they are eligible to provide senior rater evaluations to Army officers and NCOs in applicable ranks.

(f) Be authorized for placement (first page summary) in the senior rater's AMHRR and may be updated annually or as necessary.

(2) The first page of Senior Rater Profile report consists of three sections. The top portion shows administrative data, the left side of the report shows current OER and NCOER profile information (that is, profile information since the last restart), and the right side shows profile information that is cumulative, irrespective of any restart.

(3) The second (and subsequent, if any) page of a Senior Rater Profile report provides a chronological by-name and by-rank list of all officers and NCOs senior rated by the rating official and the HQDA electronically generated label applied to their reports. (This listing allows senior raters the ability to check the system and track how and when their ratings are profiled at HQDA.) Within a senior rater's profile, HQDA will always process OERs and NCOERs in the order they are received.

(4) For assistance in managing senior rater profiles and OER/NCOER sequencing, senior raters are encouraged to use EES and the online Senior Rater Profile report application along with the Senior Rater Evaluation Timeliness report. EES is designed to give visibility to senior raters and their designated representatives on the processing of OERs and NCOERs for the senior rater's profile. Users will need a CAC. EES and Senior Rater Profile report are accessible at https://evaluations.hrc.army.mil/.

(5) OERs and NCOERs received at HQDA containing an "Most Qualified," "Multi-Star Potential," or "Promote to BG" rating for a particular grade not supported by the senior rater's profile (that is, a report received causing the senior rater's rating profile for a particular grade to be greater than the allowable percentage) will result with the OER or NCOER receiving an HQDA label supported by the next lower rating (that is, "Most Qualified" receiving a "Highly Qualified" or "Multi-Star Potential" receiving a "Promote to BG" or "Retain as Colonel," as applicable, HQDA label) with the initial rating (as indicated by the senior rater) counting against the senior rater's profile as a documented misfire.

Note. Remember that for the final completed OER to maintain the "Most Qualified" HQDA label, senior raters of 2LT through LTC officers are required to maintain a profile percentage of less than 50 percent for rendered OERs, separated by grade. For senior raters of COLs, senior raters must manage the upper two assessment boxes. When managing the upper two boxes for COLs, the "Multi-Star Potential" box must be less than 24 percent of rendered reports, separated by grade and/or the cumulative percentage of the upper two boxes combined must be less than 50 percent of rendered reports, separated by grade. For the final completed NCOER to maintain the "Most Qualified" HQDA label, senior raters of SSG through CSM NCOs are required to maintain a profile percentage of no more than 24 percent for rendered NCOERs, separated by grade.

(6) The Senior Rater Evaluation Timeliness report resides as a section of the Senior Rater Profile report.

(a) The timeliness report compiles information on Army OERs and NCOERs submitted on rated Soldiers after 1 January 2011, by rank. The timeliness report was reset Armywide on 8 January 2016. It displays the total number of OERs and NCOERs submitted, the total number of OERs and NCOERs submitted to HQDA on time (received no later than 90 days after the "Thru" date of OERs and NCOERs), and the percentage of OERs and NCOERs submitted to HQDA on time. This cover page is authorized for placement in the senior rater's AMHRR and can be updated annually, or as necessary.

Note. Data for ARNG DA Form 2166–8 (NCO Evaluation Report) will not display on the Senior Rater Evaluation Timeliness report as these reports previously processed at the state level.

(b) The second (and subsequent, if any) page displays administrative information on the specific OERs and NCOERs that were not submitted on time.

(c) A senior rater may view their evaluation timeliness report at any time using the online Senior Rater Profile report application, which is accessible from the same location indicated for EES in paragraph 3–11*c*(4).

3–12. Rater and senior rater profile restarts

a. Rater profile restarts. All requests for rater profile restarts will be reviewed with a determination made by HRC, Evaluation Policy Branch (AHRC–PDV–E) for Regular Army, USAR, and ARNG OERs (see app F).

(1) A rater may request to restart a profile in a particular grade only after—

(a) A total of six OERs have processed against that grade at HQDA (that is, completed processing through HQDA).

(b) The rater has obtained written authorization from the first two-star level general officer commander (or equivalent) within their organization.

(c) The rater has a documented misfire in the grade for restart. A documented misfire is an OER submitted to HQDA with a box check "Excels" on the OER in part IV which is not supported by the rater's profile for that grade and labeled by HQDA as a "Proficient" on the final OER. The "Excels" box check will still be reflected in the rater's profile numbers.

(2) To restart an entire profile, the profile for a single grade, or any portion of the profile, a rater will personally contact the HRC Evaluation Systems and Policy office (see app F). No restart will be made until the rater and the Evaluation Systems and Policy office agree to the effective date and grades to be affected. Any previously applied profile credits will not be included for profiles approved for restarts.

(3) Profile restarts will become effective the first date of a given month and will impact all OERs received after the agreed upon date. All incoming OERs with rater signature dates before the effective date of the restart will process, profile, and be labeled against the old profile. All OERs dated on or after the effective date of the profile restart will process, profile, and be labeled against the new profile. An OER may have the wrong profile applied if the rater manually signs an OER and an arbitrary date is entered erroneously by the rater's representative or administrative

office. This procedure does not determine the sequencing of OERs in the rater's profile. DA Pam 623–3 discusses how OERs are processed and rater profiles are determined.

b. Rater tendency restarts. All requests for rater tendency restarts will be reviewed with a determination made by HRC, Evaluation Policy Branch (AHRC–PDV–E) for Regular Army, USAR, and ARNG NCOERs (see app F).

(1) A rater may request to restart their rating tendency in a particular grade only after—

(a) A total of six NCOERs have processed against that grade at HQDA (that is, completed processing through HQDA).

(b) The rater has obtained written authorization from the first general officer commander (or equivalent) within their organization.

(2) To restart an entire rating tendency, the rating tendency for a single grade, or any portion of the rater's tendency, a rater will personally contact the HRC Evaluation Systems and Policy office (see app F). No restart will be made until the rater and the Evaluation Systems and Policy office agree to the effective date and grades to be affected.

(3) Tendency restarts will become effective the first date of a given month and will impact all NCOERs received after the agreed upon date. All incoming NCOERs with rater signature dates before the effective date of the restart will process and be labeled against the old rating tendency. All NCOERs dated on or after the effective date of the tendency restart will process and be labeled against the new rating tendency. An NCOER may have the wrong tendency applied if the rater manually signs an NCOER and an arbitrary date is entered erroneously by the rater's representative or administrative office. This procedure does not determine the sequencing of NCOERs in the rater's tendency. DA Pam 623–3 discusses how NCOERs are processed and rater tendency is determined.

c. Senior rating profile restarts DA Form 67–10 series.

(1) A senior rater may request to restart a profile in a particular grade only after—

(a) Three OERs have processed against that grade at HQDA (that is, completed processing through HQDA).

(b) The senior rater has obtained permission or authorization from their senior rater.

(c) The senior rater has a documented misfire in the grade for restart. A documented misfire is an OER submitted to HQDA with a box check ("Most Qualified," "Multi-Star Potential," and/or "Promote to BG") on the OER (part VI, block a) which is not supported by the senior rater's profile for that grade and labeled by HQDA as an assessment ("Highly Qualified" or "Retain as Colonel") which is supported by the senior rater's profile on the final OER. The original box check that misfired ("Most Qualified," "Multi-Star Potential," and/or "Promote to BG") will still be reflected in the senior rater's profile numbers.

(2) To restart an entire profile, the profile for a single grade, or any portion of the profile, a senior rater will personally contact the HRC Evaluation Systems and Policy office (see app F). No restart will be made until the senior rater and the Evaluation Systems and Policy office agree to the effective date and grades to be affected. Any previously applied profile credits will not be included for profiles approved for restarts.

(3) Profile restarts will become effective the first date of a given month and will impact all OERs received after the agreed upon date. All incoming OERs with senior rater signature dates before the effective date of the restart will process, profile, and be labeled against the old profile. All OERs dated on or after the effective date of the profile restart will process, profile, and be labeled against the new profile. An OER may have the wrong profile applied if the senior rater manually signs an OER and an arbitrary date is entered erroneously by the senior rater's representative or administrative office. This procedure does not determine the sequencing of OERs in the senior rater's profile. DA Pam 623–3 discusses how OERs are processed and senior rater profiles are determined.

d. Senior rater profile restarts DA Form 2166–9 series.

(1) A senior rater may request to restart a profile in a particular grade only after—

(a) Three NCOERs have processed against that grade at HQDA (that is, completed processing through HQDA).

(b) The senior rater has obtained permission or authorization from their senior rater.

(c) The senior rater has a documented misfire in the grade for restart. A documented misfire is an NCOER submitted to HQDA with a box check "Most Qualified" on the NCOER (part V, block a) which is not supported by the senior rater's profile for that grade and labeled by HQDA as an assessment "Highly Qualified" which is supported by the senior rater's profile on the final NCOER. The original box check that misfired "Most Qualified" will still be reflected in the senior rater's profile numbers.

(2) To restart an entire profile, the profile for a single grade, or any portion of the profile, a senior rater will personally contact the HRC Evaluation Systems and Policy office (see app F). No restart will be made until the senior rater and the Evaluation Systems and Policy office agree to the effective date and grades to be affected.

(3) Profile restarts will become effective the first date of a given month and will impact all NCOERs received after the agreed upon date. All incoming NCOERs with senior rater signature dates before the effective date of the restart will process, profile, and be labeled against the old profile. All NCOERs dated on or after the effective date of the profile restart will process, profile, and be labeled against the new profile. An NCOER may have the wrong profile

applied if the senior rater manually signs an NCOER and an arbitrary date is entered erroneously by the senior rater's representative or administrative office. This procedure does not determine the sequencing of NCOERs in the senior rater's profile. DA Pam 623–3 discusses how NCOERs are processed and senior rater profiles are determined.

Section V

DA Form 1059 Series Roles and Responsibilities

3–13. Commandant, academic rater, academic advisor, and reviewing official responsibilities

a. See paragraph 1–4*b* for a list of commandant responsibilities. Commandants will ensure that completed AERs are filed in the rated Soldier's AMHRR.

b. DA Form 1059 academic raters will ensure the following:

(1) All applicable fields in parts I, II, and IV are accurate and complete.

(2) When there are substantiated findings that the rated Soldier violated the Army's EO, EEO, or SHARP Programs, "No" is selected in part II, block a, and comments explaining the "No" selection are entered in part II, block l.

(3) APFT performance entry and date, height and weight requirements, and verification of compliance with AR 600–9 are entered in part II, blocks b and c.

(4) Overall grade point average (GPA) is entered in part II, block d, when applicable.

(5) Skill identifiers (with code) are entered in part II, blocks e1 and e2, when applicable.

(6) Academic achievement boxes are selected in part II, blocks f through k, to indicate how well the student demonstrated performance as related to attributes and competencies of the Army's Leadership Requirements Model (see ADP/ADRP 6–22). The academic achievement is intended to measure a student's academic level of demonstrated performance associated to Army attributes, core leadership competencies, and professionalism. This measurement is derived from comparing the student's demonstrated performance against Army attributes, core leadership competencies, and course standards.

(a) If a student successfully achieves and maintains an overall acceptable course standard, as related to the demonstrated competency/attribute as identified in, and consistent with, course grading plans, the rater will place an "X" in the "Met Standard" box.

(b) If a student's academic performance is above overall standards of the course as related to the demonstrated competency/attribute identified in, and consistent with, course grading plans, the rater will place an "X" in the "Exceeded Standard" box.

(c) If a student's academic performance is extraordinarily above overall standards of the course as related to the demonstrated competency/attribute identified in, and consistent with, course grading plans, the rater will place an "X" in the "Far Exceeded Standard" box.

(d) If a student does not successfully achieve and does not maintain an overall acceptable course standard as related to the demonstrated competency/attribute as identified in, and consistent with, course grading plans, the rater will place an "X" in the "Did Not Meet Standard" box.

(7) DA Form 1059 will be referred to the student if any "Did Not Meet Standard" is selected (see paras 3–28 and 3–29).

(8) If a competency/attribute is not assessed consistent with course grading plan, the rater will place an "X" in the "Not Evaluated" box.

(9) Academic achievement comments will address accomplishments and/or deficiencies for attributes and competencies evaluated in part II, blocks f through k.

(10) For "Interim Report" reason for submission selections, no box check selections will occur in part II, blocks f through k. Narrative comments will be provided within part II, block l, assessing demonstrated performance against Army attributes, core leadership competencies, and course standards as of the "Thru" date on the report.

(11) For courses requiring special projects (for example, white papers, thesis topics, or decision papers), list the titles of completed projects in part II, block m.

c. DA Form 1059–2 academic raters will ensure the following:

(1) All applicable fields in parts I, II, and IV are accurate and complete.

(2) When there are substantiated findings that the rated Soldier violated the Army's EO, EEO, or SHARP Programs, "No" is selected in part II, block a, and comments explaining the "No" selection are entered in part II, block j.

(3) APFT performance entry and date, height and weight requirements, and verification of compliance with AR 600–9 are entered in part II, blocks b and c.

(4) Overall GPA is entered in part II, block d, when applicable.

(5) Skill identifiers (with code) are entered in part II, blocks e1 and e2, when applicable.

(6) Joint education credit is selected in part II, block f, when applicable.

(7) Academic performance box is selected in part II, blocks g through i, to indicate the quality of the student's course work, performance, and classroom contributions.

(a) If the quality of course work displays expert comprehension and integration of concepts, exhibits performance at a level that significantly exceeds standards, and is an exemplar of excellence, the academic rater will place an "X" in the "Distinguished Performance" box.

(b) If the quality of course work displays exceptional comprehension and integration of concepts and an impressive performance that is clearly above the norm, the academic rater will place an "X" in the "Superior Performance" box.

(c) If the quality of course work displays a solid comprehension and integration of concepts, the academic rater will place an "X" in the "Performed to Standards" box.

(d) If the quality of course work lacks a solid command of concepts, the academic rater will place an "X" in the "Did Not Meet Standard" box.

(8) DA Form 1059–2 will be referred to the student if any "Did Not Meet Standard" is selected (see paras 3–28 and 3–29).

(9) Comments are required for part II, blocks g through j. Comments will address accomplishments and/or deficiencies for areas evaluated.

(10) For "Interim Report" reason for submission selections, no box check selections will occur in part II, blocks g through j. Narrative comments will be provided assessing demonstrated performance against Army attributes, core leadership competencies, and course standards as of the "Thru" date on the report.

(11) For courses requiring special projects (for example, white papers, thesis topics, or decision papers), list the titles of completed projects in part II, block j.

d. DA Form 1059–1 academic advisors will ensure the following:

(1) All applicable fields in parts I, II, and IV are accurate and complete.

(2) When there are substantiated findings that the rated Soldier violated the Army's EO, EEO, or SHARP Programs, "No" is selected in part II, block a, and comments explaining the "No" selection are entered in part II, block a.

(3) APFT performance entry and date, height and weight requirements, and verification of compliance with AR 600–9 are entered in part II, blocks b and c.

(4) Overall GPA is entered in part II, block d, when applicable.

(5) For courses requiring special projects (for example, white papers, thesis topics, or decision papers), list the titles of completed projects in part II, block i.

e. DA Form 1059 and 1059–2 reviewing officials will ensure the following:

(1) Content within parts I, II, III, and IV of the evaluation are completed in compliance with this regulation and the procedures prescribed in DA Pam 623–3.

(2) All respective fields in parts III and IV are completed.

(3) The "Overall Academic Achievement" box check is selected in part III, block a, to best describe the rated students overall academic performance.

(4) The "Overall Academic Achievement" selection indicates the level of performance for the student compared against course standards and the student's performance when compared to other students enrolled for that specific class. The school commandant will designate the appropriate peer group size for stratification for each course to ensure a fair and transparent evaluation of all students' performance in relation to overall course learning outcomes.

(5) The top two constrained "Overall Academic Achievement" assessment boxes do not exceed allowable limits established for those eligible to receive a DA Form 1059 or DA Form 1059–2.

(a) For DA Form 1059, a "Commandant's List" box check assessment is limited to the top 20 percent. This percentage is derived by using the total number of students enrolled for that specific class eligible to receive a DA Form 1059. A "Superior Academic Achievement" box check assessment is limited to the upper 21 to 40 percent of student totals enrolled for that specific class eligible to receive a DA Form 1059. A combined total for both "Commandant's List" and "Superior Academic Achievement" box check selections will not exceed 40 percent of student totals enrolled for that specific class eligible to receive a DA Form 1059. "Enrolled" is defined as a student meeting all course entry requirements, officially registered in the Army Training Requirements and Resources System (ATRRS) as enrolled, and begins the execution of a course syllabus or POI.

1. Students that rate in the upper 40 percent will receive a Class Standing assessment within part III, block a. Students rating below 40 percent (in other words, "Achieved Course Standards" or "Failed to Achieve Course Standards" box check selections) will not receive a class standing assessment within part III, block a.

2. The Overall Academic Achievement performance in part III, block a, is gauged by the total population of the enrolled class eligible to receive a DA Form 1059. If all course requirements have been met and the student has demonstrated skills and abilities that rate them in the top 20 percent of all students enrolled in the class eligible to receive a DA Form 1059, the reviewing official will place an "X" in the "Commandant's List" box. The number of

ratings in this box cannot exceed 20 percent of the total number of students enrolled in the class eligible to receive a DA Form 1059.

3. If all course requirements have been met and the student has demonstrated skills and abilities that rate them in the upper 21 to 40 percent of all students enrolled in the class eligible to receive a DA Form 1059, the reviewing official will place an "X" in the "Superior Academic Achievement" box (The number of ratings in the second box combined with the number of ratings in the first box cannot exceed 40 percent of all students enrolled in the class eligible to receive a DA Form 1059).

4. If all course requirements have been met and the student achieved the overall acceptable course standards as identified in the course grading plan, the reviewing official will place an "X" in the "Achieved Course Standards" box.

5. If the student fails to meet course requirements as identified in the course grading plan, the reviewing official will place an "X" in the "Failed to Achieve Course Standards" box. See paragraph 2–17 for academic failure evaluation reports and paragraphs 3–28 through 3–29 for referral process.

6. Students who received any "Did Not Meet Standard" assessment within part II, blocks f through k, from the academic rater may only be assessed as a "Failed to Achieve Course Standards" or "Achieved Course Standards" "Overall Academic Achievement" box check selection. A box check selection of "Achieved Course Standards" requires explanation.

7. The reviewer may list up to three future assignments that are relevant to the student's demonstrated aptitude.

(b) For DA Form 1059–2, a "Distinguished Graduate" box check selection is limited to the top 10 percent. This percentage is derived by using the total number of students enrolled for that specific class eligible to receive a DA Form 1059–2. A "Superior Graduate" box check selection is limited to the upper 11 to 30 percent of student totals enrolled for that specific class eligible to receive a DA Form 1059–2. A combined total for both "Distinguished Graduate" and "Superior Graduate" box check selections will not exceed 30 percent of student totals enrolled for that specific class eligible to receive a DA Form 1059–2. "Enrolled" is defined as a student meeting all course entry requirements, officially registered in ATRRS as enrolled, and begins the execution of a course syllabus or POI.

1. The Overall Academic Achievement performance in part III, block a, is gauged by the total population of the enrolled class eligible to receive a DA Form 1059–2. If all course requirements have been met and the student has demonstrated skills and abilities that rate them in the top 10 percent of the appropriate peer group designated by the commandant, the reviewing official will place an "X" in the "Distinguished Graduate" box check selection. (The number of ratings in this box cannot exceed 10 percent of the total number of students enrolled for the class eligible to receive a DA Form 1059–2).

2. If all course requirements have been met and the student has demonstrated skills and abilities that score them in the upper 11 to 30 percent of the total number of students enrolled for the class eligible to receive a DA Form 1059–2, the reviewing official will place an "X" in the "Superior Graduate" box check selection (The total number of ratings in the second box combined with the total number of ratings in the first box cannot exceed 30 percent of the total number of students enrolled for the class eligible to receive a DA Form 1059–2).

3. If all course requirements have been met and the student has achieved the overall acceptable course standards as identified in the course grading plan, the reviewing official will place an "X" in the "Graduate" box.

4. If the student fails to meet course requirements as identified in the course grading plan, the reviewing official will place an "X" in the "Non-Graduate" box. See paragraph 2–17 for academic failure evaluation reports and paragraphs 3–28 through 3–29 for referral process.

5. Students who received any "Did Not Meet Standard" assessment within part II, blocks g through j, from the academic rater may only be assessed in the Overall Academic Achievement box check selection as a "Graduate" or "Non-Graduate." A box check selection of "Graduate" requires further explanation.

f. DA Form 1059–1 administrative reviewer is conducted by HRC, Advanced Education Programs Branch (AHRC–OPL–C) or AMEDD Student Detachment, as applicable. Administrative reviewing officials for DA Form 1059–1 will ensure the following:

(1) Content within parts I, II, III, and IV of the evaluation are completed in compliance with this regulation and procedures prescribed in DA Pam 623–3.

(2) Any dissertations and thesis topics completed while attending the specific school, fellowship, and/or scholarship programs are listed in part II, block i.

(3) Part III, block a, "Yes" or "No," is selected to indicate if the student did or did not successfully complete course requirements. For a selection of "No," comments are required in part III, block b, indicating the reason for a student's release from a degree program (for example, approved retirement, resignation from Army service, academic or ethical violation, or through no fault of the student).

(4) A student's official transcript will be attached and included with the submitted evaluation report when processed to the AMHRR.

(5) Comments in part III, block b, will include content related to the student's accomplishments or failures while attending the specific school, fellowship, and/or scholarship program. Comments will also include all dissertations and thesis topics completed while attending the specific school, fellowship, and/or scholarship program.

(6) Ensure the reason for submission is "Interim Report" for students attending courses requiring an interim DA Form 1059–1 (see para 3–51). For interim reports, part III will not be completed and will remain blank.

(7) Reviewers will list up to three utilization tour/follow-on assignments that are relevant to demonstrated aptitude, as applicable.

3–14. School proponents

School proponents determine which courses use all four box selections for the Overall Academic Achievement assessment on DA Form 1059 and DA Form 1059–2. For courses that do not utilize all four box selections for the Overall Academic Achievement, the upper two box check selections on DA Form 1059 (for example, "Commandant's List"/"Superior Academic Achievement") and DA Form 1059–2 (for example, "Distinguished Graduate"/"Superior Graduate") will not be used when completing the Overall Academic Achievement assessment.

3–15. DA Form 1059 and DA Form 1059–2

DA Form 1059 and DA Form 1059–2 are used to document the performance, accomplishments, potential, and limitations of students while attending military schools and courses of instruction or training. The reporting official will be responsible for the qualitative and quantitative assessment of students' abilities and the accuracy of the information in the completed DA Form 1059 and DA Form 1059–2. For resident students in courses greater than two weeks, the time period covered by a DA Form 1059 and DA Form 1059–2 producing schools will be counted as nonrated time on the OER or NCOER that covers the same period. Some instances exist for Soldiers enrolled in nonresident courses who will receive an AER assessment for the nonresident course as the same period of time of an OER or NCOER. In these nonresident course instances, the AER assessment period will not be counted as nonrated time for any due OER or NCOER. Comments pertaining to academic performance during the nonresident course will only be used on the DA Form 1059 or DA Form 1059–2 and will not be included in OERs or NCOERs. DA Form 1059 and DA Form 1059–2 are also discussed in paragraphs 3 –50, 3–52, and DA Pam 623–3. In accordance with AR 350–1 and AR 350–10, ATRRS is the Army's system of record for training at Army and non-Army schools. All training requirements, schedules, quota assignments, student reservations, enrollment, and completion entries are required to be documented in ATRRS. All EES entries and/or AER submissions to HQDA failing validation against ATRRS may result in a delay and/or failure to process the AER to the Soldiers AMHRR.

a. Counseling requirements. Academic performance counseling for students attending Service schools or military courses of instruction or training will be conducted in accordance with procedures established at the local level by the commandant of the school or the CG, TRADOC.

b. Annual reporting requirement. The preparation of DA Form 1059 and/or DA Form 1059–2, as applicable, is required annually for resident students enrolled in military Service schools that are longer than 12 months in duration under AR 350–1. The annual requirement for DA Form 1059 or DA Form 1059–2 does not apply to a student enrolled in a nonresident course.

(1) An interim report will be prepared 12 months (1 calendar year) after the beginning of the training program to document the student's progress at that time.

(2) An additional DA Form 1059 or DA Form 1059–2, as applicable, will be prepared every 12 months thereafter, or upon completion of the training, whichever occurs first. A final DA Form 1059 or DA Form 1059–2, as applicable, "Course Completion" report will be prepared and submitted to HRC (AHRC–PDV–ER) to arrive no later than 90 days after the completion or termination of training (see app F).

(3) As an exception, one DA Form 1059 or DA Form 1059–2, as applicable, will be used for courses that are longer than 12 months but no more than 15 months in duration. The DA Form 1059 or DA Form 1059–2, as applicable, will cover the entire course length.

c. Army physical fitness test and height/weight entries. Soldiers attending institutional training courses (including officer and NCO educational system courses and functional courses listed in AR 350–1) are expected to meet the Army's physical fitness and body composition standards. All AERs for professional military education courses beyond initial military training will require an APFT in accordance with AR 350–1 and height/weight screening (body composition compliance in accordance with AR 600–9). For resident courses, the APFT, height and weight, and verification of compliance with AR 600–9 results will be entered on the AER. (See DA Pam 623–3 for procedural guidance.)

d. Uncompleted course requirement due to no fault of student. Students who are released from, or resign from, a course of instruction or degree program early through no fault of their own (for example, medical or compassionate reasons, approved retirement, or resignation from military service) will receive a DA Form 1059 or DA Form 1059–2, as applicable. Concise details addressing the early release will be explained within the academic rater's narrative. For students released at no fault of their own, the reason for submission will be "Released Early (No Fault of Student)"(see DA Pam 623–3). Exceptions to this requirement are listed in para 3–50.

(1) For DA Form 1059, comments are required in part III, block b, and will fully explain the circumstance of release due to no fault of the student. DA Form 1059 part II, blocks d through m, and part III, blocks a and c, will not be completed.

(2) For DA Form 1059–2, comments are required in part III, block b, and will fully explain the circumstance of release due to no fault of the student. DA Form 1059–2 part II, blocks d through i, and part III, block a, will not be completed.

e. Enrollments after Army Training Requirements and Resources System class start date. When a student is enrolled into a class after the ATRRS class start date, the "From" date on DA Form 1059 or DA Form 1059–2, as applicable, will reflect the actual date the student entered the class (the ATRRS input date). The academic rater will provide comments explaining the late enrollment.

f. Regular Army and U.S. Army Reserve in active duty status.

(1) Commandants of Army (or other DoD branch) schools (also known as Service schools) and NCO academies will be responsible for preparing DA Form 1059 and/or DA Form 1059–2, as applicable. Completed reports will be submitted to HQDA to arrive no later than 90 days after the student's graduation or termination from the school or academy (see paras 3–34, 3–50, and 3–52). In preparing these reports, all significant information that can be evaluated will be reported. The same care and attention will be exercised in preparing AERs as exercised in preparing OERs and NCOERs.

(2) School commandants or training division or BDE commanders will ensure that DA Form 1059 and DA Form 1059–2 comments are based on observation of a student's qualities, strengths, weaknesses, deficiencies, and overall performance.

(3) Appropriate OERs and NCOERs will be submitted for Soldiers assigned a principal duty before the start of a DA Form 1059 or DA Form 1059–2 producing course, between courses, or after a course. OERs will be prepared for all officers and NCOERs will be prepared for all NCOs, if appropriate, whose principal duties and assignment are as other than a student. They will be submitted under the provisions of this regulation.

(4) For AMEDD schools, see appendix E in addition to paragraphs 3–27 through 3–29.

(5) Schools will submit completed DA Form 1059 and DA Form 1059–2 reports to HQDA by using electronic submission capabilities available in EES, mail, or email when deployed in support of contingency operations for inclusion in Soldiers' AMHRR (see app F).

g. Reserve Component personnel not on active duty.

(1) The Service school commandant and training division or BDE commanders will ensure a DA Form 1059 or DA Form 1059–2, as applicable, is prepared for students under the following criteria:

(a) Successful course completion.

(b) Unsatisfactory course completion, including termination or failure to complete the course.

(2) DA Form 1059s are not required for initial active duty for training (ADT) personnel attending their initial advanced individual training MOS-producing course following basic combat training or basic training. If the honor graduate or distinguished graduate of the basic training or the basic training course is in initial ADT, the school commandant will send a letter to the appropriate state AG or area commander.

(3) The completed DA Form 1059 or DA Form 1059–2, as applicable, will be submitted to HQDA by using electronic submission capabilities available in EES or hardcopy mail for processing and inclusion in the Soldier's AMHRR (see app F).

h. All noncommissioned officer academies. For Soldiers who complete structured self-development level 2 (SSD–2), a G code will be awarded through ATRRS and annotated on a Soldier's enlisted records brief. A DA Form 1059 is not issued to Soldiers unless there is no Advanced Leaders Course (ALC) technical phase for a Soldier's MOS.

i. Reasons for submitting a DA Form 1059 and DA Form 1059–2. The DA Form 1059 or DA Form 1059–2, as applicable, will be rendered for the following reasons:

(1) AHRC directed. A code 19, "AHRC Directed" AER, will be rendered when the CG, HRC determines there is a need for an academic evaluation report and directs the issuance (see para 3–54).

(2) Interim report. A code 60, "Interim Report" AER, will be submitted annually for courses that exceed 15 months in duration.

(3) Course completion. A code 62, "Course Completion" AER, will be submitted after successful completion of a DA Form 1059 producing course. For courses consisting of multiple phases, this type of report will only be completed for a course phase that finalizes the completion of all phase requirements of a multiphase course. Course completion academic reports that signify a military education level advancement must annotate the military education level achieved.

(4) Phase completion. A code 65, "Phase Completion" AER, will be submitted upon completion of a course phase for multiphase courses. The phase number completed is required and will be annotated.

(5) Released early (no fault of student). A code 63, "Released Early (No Fault of Student)" AER, will be submitted for students that do not meet course requirements and are released early from the course of instruction or degree program through no fault of their own.

(6) Did not graduate. A code 64, "Did Not Graduate" AER, will be submitted for students that fail to meet course requirements needed for course completion.

3–16. DA Form 1059–1

This type of report is rendered for Soldiers who attend a civilian education, medical, or industrial institution. Specific responsibilities for these reports are detailed in this paragraph. (See AR 350–1, AR 621–1, and AR 621–7).

a. DA Form 1059–1 performance counseling for Soldiers attending a civilian educational, medical, or industrial institution will be conducted in accordance with procedures established at the local level by the dean of the institution or appropriate civilian official.

b. Appropriate OERs will be submitted prior to officers attending schooling at civilian institutions.

c. The HRC Advanced Education Programs Branch (AHRC–OPL–C) or AMEDD Student Detachment (as applicable) is responsible for initiating DA Form 1059–1 for Soldiers attending civilian institutions. DA Form 1059–1 will be submitted upon completion or termination of schooling or training (see app F) except as noted below:

(1) Soldiers attending courses in long-term civilian education programs of more than 12 months but less than 24 months will receive a DA Form 1059–1 as follows:

(a) An "Interim Report" reason for submission will be prepared 12 months (1 calendar year) after the beginning of the training program to document the student's progress at that time.

(b) A final DA Form 1059–1 "Course Completion" reason for submission will be prepared and submitted to HRC (AHRC–OPL–L) or AMEDD Student Detachment, as applicable, to arrive no later than 90 days after the completion or termination of training (see app F).

(c) In cases where a Soldier is terminated from a training program, concise details addressing the termination will be explained and documented within the narrative prepared by the civilian institution.

(d) As an exception, one DA Form 1059–1 will be used for courses that are longer than 12 months but no more than 15 months in duration (the DA Form 1059–1 will cover the entire course length). Master's degree-level programs will receive only a final DA Form 1059–1 "Course Completion" reason for submission, unless schooling exceeds 24 months.

(2) Soldiers attending long-term civilian education programs of more than 24 months will receive a DA Form 1059–1 as follows:

(a) An "Initial Report" reason for submission DA Form 1059–1 will be prepared at the start of the program with mandatory comments addressing the specific school, fellow, doctorate, or scholar program selected for attendance. Additional comments will address targeted degree, dissertation, thesis topic, and utilization tour/follow-on assignment, as applicable. A projected graduation date will be entered in part I, block l. For additional information, see para 3–51.

(b) An "Interim Report" reason for submission DA Form 1059–1 will be prepared 12 months (1 calendar year) after the start of the program to document the student's progress at that time. Additional "Interim Report" AERs will be prepared every 12 months thereafter until the completion of the course.

(c) Soldiers participating in a doctoral degree program will receive an initial DA Form 1059–1 at the start of the training program. Each subsequent "Interim Report" DA Form 1059–1 will be prepared every 12 months thereafter, up to the completion of the training program.

(d) A final "Course Completion" reason for submission DA Form 1059–1 will be prepared and submitted to HRC (AHRC–OPL–L) to arrive no later than 90 days after the completion or termination of training (see app F).

(e) An "AHRC Directed" reason for submission DA Form 1059–1 will only be rendered when the CG, HRC determines there is a need for a DA Form 1059–1 and directs the issuance.

(f) A "Released Early (No Fault of Student)" reason for submission DA Form 1059–1 will be submitted for students that do not meet or complete course requirements and are released early from the course of instruction or degree program through no fault of their own. For DA Form 1059–1, comments are required in part III, block b, and will

fully explain the circumstance of release due to no fault of the student. DA Form 1059–1 part II, blocks d through i, and part III, blocks a and c, will not be completed.

(g) A "Did Not Graduate" reason for submission DA Form 1059–1 will be submitted for students that fail to meet course requirements needed for course completion.

(h) An "AHRC Directed" AER will only be rendered when the CG, HRC determines there is a need for an academic evaluation report and directs the issuance.

(i) In cases where a Soldier is terminated from a training program for reasons other than a "Released Early (No Fault of Student)," concise details addressing the early release will be documented and explained in part II, block h, when prepared by the civilian institution.

(3) Soldiers who graduated from law school under The Judge Advocate General (TJAG) Funded Legal Education Program (FLEP) (see AR 27–1) will forward two copies of all law school grade transcripts and evidence that a law degree was conferred to Personnel, Plans, and Training Office (DAJA–PT), Washington, DC 20310–2200, within 60 days after graduation. Within this same period, the evidence that a law degree was conferred will also be given to military personnel officers for entry in personnel records (see para 3–53 and app D regarding civilian education of JAGC officers).

(4) See appendix E regarding civilian education of AMEDD officers.

(5) Unless otherwise stated, DA Form 1059-1s completed by the institution and transcripts will be submitted to HRC (AHRC–OPL–L) (see app F).

d. The installation education services officer will initiate and review the DA Form 1059–1 if requested by a Regular Army Soldier who has participated in a part-time, after-duty educational degree program. This may be done upon the completion of all requirements for the degree. The DA Form 1059–1 will be forwarded to the appropriate HQDA component for inclusion in the student's AMHRR (see app F). An official transcript of grades will be attached to the DA Form 1059–1 before submission.

Section VI

Restrictions

3–17. Evaluation parameters

Rating officials' evaluations of a rated Soldier will be limited to the dates included in the rating period of an evaluation report.

a. Each evaluation report will be an individual stand-alone evaluation of the rated Soldier for a specific rating period. An evaluation report will not refer to performance or incidents occurring before or after the period covered or during periods of nonrated time. The determination of whether an incident occurred during the period covered will be based on the date of the actual incident or performance; it will not be based on the date of any subsequent acts, such as the date of its discovery, a confession, or finding of guilt, or the completion of an investigation. Guidance concerning modification of previously submitted OERs is contained in paragraph 3–37.

b. Exceptions to this policy are granted only in the following situations:

(1) When "Relief for Cause" reports are based on information pertaining to a previous reporting period (for example, relief of a Soldier found to be involved in some illegal activity during a previous reporting period). The rating official may refer to the prior rating period to explain the reasons for relief (see paras 3–55 and 3–56).

(2) When the most recent APFT performance or profile data occurred prior to the beginning date of the evaluation report, but within 12 months of the "Thru" date of the evaluation report. The exception is allowed in order to comply with APFT requirements (see DA Pam 623–3).

(3) A substantiated EO, EEO, or SHARP complaint as a result of an AR 15–6 investigation (see AR 600–20).

(4) When a Soldier is assigned to a warrior transition unit (WTU) designated on a valid rating chain and receives an OER or NCOER with a nonrated code G.

3–18. Comments

a. Comments will not exceed the space provided on evaluation reports. Additionally, comments must pertain exclusively to the rating period of the evaluation report; comments related to nonrated periods will not be included (that is, schooling, duties performed while suspended, and so forth). Awards and/or special recognition received during the rating period may be cited in evaluation comments (for example, "received the Humanitarian Service Medal" or "named the NCO of the Year"); however, comments related to scholastic achievements are limited to AERs. See paragraph 3–35 for the exceptions pertaining to WTU Soldiers who are performing duty in addition to their healing mission.

b. In preparing their comments, rating officials will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's performance and potential (as applicable). In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. For OERs and NCOERs, raters will only comment on performance when writing assessments. Potential comments are reserved for intermediate raters (for OERs) and senior raters on both OERs and NCOERs. As an exception, rater's who assess officers on DA Form 67–10–3 and DA Form 67–10–4 OERs may comment on both performance and potential.

c. Rating officials may consider including in their comments the degree of professionalism demonstrated by the rated Soldier in their particular area of expertise. This is particularly pertinent in assessments of specialty branch officers (Chaplain Corps, JAGC, and AMEDD) and those required to maintain certain credentialing or certification standards, foreign language skills, and high-level security clearances.

d. Authorized abbreviations, brevity codes, and acronyms (ABCAs) found in the ABCA database, which contains the authorized ABCAs for Army use, may be used in rating officials' comments. However, other ABCAs must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the ABCA may be used alone. The use of ABCAs will be limited for clarity of content. Information on ABCAs can be obtained at the Army Publishing Directorate's website https://armypubs.army.mil/.

3–19. Prohibited narrative techniques

A thorough evaluation of the whole Soldier is required. The following techniques will not be used:

a. Brief, unqualified superlatives or phrases, particularly if they may be considered trite.

b. Too brief comments, excessive use of technical acronyms, or phrases not commonly recognized. These frequently need to be interpreted by selection boards and career managers. If they are not correctly interpreted, the best interests of the Army and the rated Soldier are not served.

c. Bullet comments.

(1) Appropriate bullet comments are required for DA Form 2166–9–1 and DA Form 2166–9–2.

(2) Bullet comments are not acceptable for OERs or AERs.

(3) Bullet comments will not be used in part V, block b, of NCOERs.

d. Any technique aimed at making specific words, phrases, or sentences stand out from the rest of the narrative, including, but not limited to the following:

(1) Underlining.

(2) Excessive use of capital letters.

(3) Unnecessary quotation marks.

(4) Repeated use of exclamation points.

(5) Wide spacing between selected words, phrases, bullets, or sentences to include double spacing within a paragraph or between paragraphs. Rating officials are not authorized any double spacing between performance and potential comments in OERs or DA Form 2166–9–3.

(6) Italics, bold text, and similar font techniques.

(7) Compressed type or spacing.

(8) Handwritten comments. An exception is made for DA Form 67–10–4, part IV, block b, and part V for evaluations of BGs and on DA Form 67–10–2 part IV, blocks d and e, and part VI, block c, for evaluations of CW5s, which may be handwritten in black ink. In order to be processed and placed on the Soldier's AMHRR, reports with handwritten comments must be legible.

(9) Exaggerated margins ("picture framing"). Paragraph indentation (if not excessive) is an acceptable practice if applied as a standard convention of English writing style (OERs and DA Form 2166–9–3 only).

(10) Inappropriate references to box checks (OERs and NCOERs) (for example, but not all-inclusive, a senior rater may not refer to the box check that would have been given to a rated officer or NCO if their profile supported it, or characterization of the rated officer or NCO as a "top box" "Most Qualified," "Multi-Star Potential" officer).

(11) Specific selection board-type language. Examples of this include, "definitely a 6+ Soldier."

3–20. Unproven derogatory information

Any mention of unproven derogatory information in an evaluation report can become an appealable matter if the derogatory information is shown to be unfounded.

a. No reference will be made to an incomplete investigation (formal or informal) concerning a Soldier.

b. References will be made only to actions or investigations that have been processed to completion, adjudicated, and had final action taken before submitting an evaluation report to HQDA. For example, rating officials are not prohibited from commenting on a court-martial (judicial) if completed, but the comments should focus on the behavior that led to the court-martial rather than the court-martial itself. If the rated Soldier is acquitted at a court-martial, or

found not guilty at a nonjudicial punishment proceeding under UCMJ, Art. 15, comments about the underlying incident will not be included in the evaluation, subject to the following exception: rating officials will ensure that evaluations document any substantiated findings in a finalized Army or DoD investigation or inquiry that a rated Soldier committed an act of sexual harassment or sexual assault, failed to report a sexual harassment or sexual assault, failed to respond to a report of sexual harassment or sexual assault, or retaliated against a person making such a report.

c. This restriction is intended to prevent unverified derogatory information from being included in evaluation reports. It will also prevent unjustly prejudicial information from being permanently included in a Soldier's AMHRR, such as:

(1) Charges that are later dropped.

(2) Charges or incidents of which the rated Soldier may later be cleared.

d. Any verified derogatory information may be entered on an evaluation report. This is true whether the rated Soldier is under investigation, flagged, or awaiting trial. While the fact that a rated Soldier is under investigation or on trial may not be mentioned in an evaluation until the investigation or trial is completed, this does not preclude the rating chain's reference to verified derogatory information. For example, when an interim evaluation report with verified information is made available to a commander, the verified information may be included in evaluation reports. For all evaluation reports, if previously reported information later proves to be incorrect or erroneous, the Soldier will be notified and advised of the right to appeal the evaluation report in accordance with chapter 4. A rater should consult with their servicing SJA's office under these circumstances to ensure that such information is properly verified.

e. Evaluation reports will not be delayed to await the outcome of a trial or investigation unless the rated Soldier has been removed from their position and is in a suspended status (see paras 3–55 and 3–56). Upon completion of the trial or investigation, processing of evaluation reports will resume. Evaluation reports will be completed when due and will contain what information is verified at the time of the "Thru" date of the evaluation report.

f. For OERs and NCOERs, when previously unverified derogatory information is later verified, an addendum will be prepared and forwarded to HQDA in accordance with paragraphs 3–37 and 3–39. Rating officials will initiate such an addendum to the OER or NCOER verifying misdeeds or professional or character deficiencies unknown or unverified when the OER or NCOER was submitted. The addendum will ensure that the verified information will be recorded in the Soldier's official records; however, it will not be submitted until the completion of the investigation, imposition of punishment, or verification of the information (see DA Pam 623–3 for instructions on how to prepare an addendum memorandum).

3–21. Prohibited comments

Comments that are prohibited will not be included in evaluation reports.

a. The use of any remarks or comments that draw attention to differences relating to race, color, religion, sex, age, sexual orientation, or national origin is prohibited. Subjective evaluation of a rated Soldier will not reflect a rating official's personal bias or prejudice (see AR 600–20).

b. When a record of nonjudicial punishment under UCMJ, Art. 15 is filed in the restricted portion of the AMHRR, or locally under AR 27–10, AR 600–8–104, or AR 600–37, rating officials may not comment on the fact that such a rated Soldier received nonjudicial punishment. This does not preclude mentioning the rated Soldier's underlying misconduct which served as the basis for the nonjudicial punishment.

c. Negative comments about a rated Soldier making protected communications (for example, communications to an IG, member of Congress, a court-martial, or a member of the chain of command designated to receive protected communications) will not be made in an evaluation report (see 10 USC 1034). Such comments could be perceived as a retaliatory action. In accordance with 10 USC 1034, Servicemembers are not restricted from communicating with these individuals.

d. No remarks about nonrated periods of time or performance or incidents that occurred before or after the rating period, will be made on an evaluation report except as follows:

(1) "Relief for Cause" reports based on information pertaining to a previous reporting period. For example, a rating official may relieve a Soldier found to be involved in some illegal activity during a previous reporting period. Reference to the prior rating period may be warranted to explain the reasons for relief (see paras 3–55 and 3–56).

(2) When the most recent APFT performance or profile data occurred prior to the beginning date of the report, but within 12 months of the "Thru" date. This exception allows the rated Soldier to comply with APFT and body composition standards (see DA Pam 623–3).

(3) When a Soldier assigned to a WTU is assigned under a valid rating chain and receives an OER or NCOER with a nonrated code G (see para 3–35).

(4) A substantiated EO, EEO, or SHARP complaint as a result of an AR 15–6 investigation (see AR 600–20, evaluation reports).

3–22. Comments about marital status and spouse

Raters and senior raters should not make any comments about the rated Soldier's spouse, partner, or personal relationships. It is never appropriate to discuss the rated Soldier's marital status or spouse when evaluating the performance and potential of a rated Soldier.

a. Evaluation comments, favorable or unfavorable, will not be based on a rated Soldier's marital status. For example, statements such as the following will not be permitted: "LTC Doe and his wife make a fine command team" or "As a bachelor, MSG Doe can quickly react to this unit's contingency missions."

b. Evaluation comments will not be made about the employment, education, or volunteer activities of a rated Soldier's spouse, partner, and so on. For example, statements such as the following will not be permitted: "Mr. Doe's participation in post activities is limited by his civilian employment" or "Mrs. Doe has made a significant contribution to our Soldiers' morale through her caring participation on the hospital volunteer staff."

c. There are limited circumstances involving actual and/or demonstrable impacts on the rated Soldier's performance or conduct when comments containing a general reference to a family member may be made. These comments will be focused on the rated Soldier's actions. For example, statements such as the following will be permitted: "CPT Doe continued his outstanding, selfless service, despite significant family health issues". The following statement is not permitted: "CPT Doe continued his outstanding, selfless service despite his wife's severe illness." A rated Soldier's spouse should not be mentioned at all in the evaluation. This both protects the privacy of the spouse and ensures non-discrimination based on the Soldier's marital status or identity/actions of their spouse.

3–23. Classified evaluation reports

Procedures for processing, safeguarding, and accessing classified evaluation reports are unique because of the sensitivity of the information they contain.

a. Normally, evaluation reports will not contain classified information as defined in AR 380–5.

b. Classified evaluation reports require safeguarding and special processing to maintain the integrity of the evaluation report's classification. Exceptional cases requiring classification will contain downgrading instructions in accordance with AR 380–5. In addition, each section, part, paragraph, subparagraph, or similar portion will be marked to show the level of classification of the information in it. Unclassified sections will be marked unclassified (see DoDI 5200.02). The evaluation report will be marked to clearly indicate which parts contain or reveal classified information.

c. Classified evaluation reports are not maintained in an open online system, individual personal copies of completed classified evaluation reports are prohibited, even by the rated Soldier. Access to copies of completed classified evaluation reports is restricted to selected HQDA-level personnel (see para 1–12). Local units should maintain copies of submitted evaluation reports in accordance with AR 380–5.

3–24. Prisoners of war

Evaluation reports will not be rendered on rated Soldiers for periods during which they are prisoners of war. The effect, if any, of a rated Soldier's status as a prisoner of war on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the UCMJ will be governed by the laws and regulations pertaining to the particular action.

3–25. Participation in the Army Substance Abuse Program or a mental health program

a. A rated Soldier who voluntarily enters the Army Substance Abuse Program (ASAP) for an alcohol or drug abuse problem that has not been detected by the chain of command will not be penalized by mention of ASAP participation in an evaluation report. This would discourage voluntary entry in ASAP upon self-recognition of the need for help. In those cases where alcohol and drug abuse has resulted in substandard performance and/or disciplinary problems, subsequent voluntary entry in ASAP does not preclude rating officials from recording substandard performance or disciplinary problems on an evaluation report. Rating officials cannot use information derived from ASAP records in their evaluations. Once a Soldier has been identified in an evaluation report as having an alcohol or drug abuse problem based on information obtained independently of ASAP—

(1) Voluntary entry into ASAP or successful rehabilitation will be mentioned only as a factor to the rated Soldier's credit.

(2) The rating chain should note the status of a rated Soldier's rehabilitation progress or outcome in the current evaluation or in later evaluation reports.

b. A rated Soldier who voluntarily seeks mental health counseling or is entered into a mental health care program for behavioral health issues that have not been detected by the chain of command will not have such participation in a behavioral health treatment program mentioned in an evaluation report. Doing so would discourage self-referral to obtain assistance from health care professionals when problems exist. In accordance with the Army's behavioral health

goals, leaders should support and encourage Soldiers to obtain the necessary assistance for behavioral health issues (see para 3–5*b*(2)(*c*)). This lessens the stigma associated with issues that warrant psychological care and treatment. Behavioral health issues include a variety of unusual or inappropriate behaviors that may be associated with post-traumatic stress disorder, mild traumatic brain injuries, combat stress or other stress, and/or suicidal thoughts or tendencies. Once a Soldier has been identified in an evaluation report as having mental health issues based on information obtained independently of any information from health care personnel—

(1) Voluntary entry into mental health counseling or a mental health care program, or evidence of successful treatment to remedy the original behavioral health issue will be mentioned as a factor to the rated Soldier's credit.

(2) The rating chain should note the status of a rated Soldier's behavioral health improvement and/or maintenance of an improved status in the evaluation report covering the period during which the Soldier's status improved.

3–26. Evaluation of adverse actions

Adverse actions encompass a variety of situations that are not in accordance with Army Values, Leadership Requirements Model, and/or good order and discipline, which need to be addressed appropriately in evaluation reports.

a. In addition to addressing the special interest items mentioned in paragraph 3–5*b*(2) in the counseling and evaluation processes, AR 600–20 allows that the following items may be mentioned in a Soldier's evaluation report when substantiated by a completed command or other official investigation (for example, Commander's or Commandant's Inquiry, AR 15–6 investigation, EO investigation, and/or investigations by official military or civil authorities):

(1) Criminal acts.

(2) Conviction of a driving under the influence charge.

(3) Acts of sexual misconduct or physical or mental abuse.

(4) Inappropriate or unprofessional personal relationships.

(5) Involvement in extremist organizations and/or activities.

(6) Acts of reprisal.

(7) Behavior that is inconsistent or detrimental to good order, conduct, and discipline.

(8) Activities or behavior otherwise prohibited by AR 600–20.

b. The following items require comments on evaluation reports when substantiated by an Army or DoD investigation or inquiry (see also AR 600–20):

(1) Substantiated EO complaints.

(2) Substantiated findings of sexual harassment and/or sexual assault.

(3) Substantiated failure to report a sexual harassment and/or sexual assault.

(4) Substantiated failure to respond to a complaint or report of sexual harassment and/or sexual assault.

(5) Substantiated retaliation against a person making a complaint or report of sexual harassment and/or sexual assault.

3–27. Referred DA Form 67–10 series

a. OERs with the following entries are referred or adverse reports. Such OERs will be referred to the rated officer by the senior rater for acknowledgment and an opportunity to comment before being submitted to HQDA (see DA Pam 623–3 for detailed instructions and process for handling referred OERs).

(1) A "Fail" for the APFT in part IV, block a, indicating noncompliance with the standards of AR 350–1; or a "No" entry for the height and weight indicating noncompliance with the standards of AR 600–9.

(2) A rater performance evaluation of "Unsatisfactory" in part IV (for DA Form 67–10–1 and DA Form 67–10–2).

(3) A rater performance evaluation of "Capable" in part IV where the required explanation has derogatory information (for DA Form 67–10–1 and DA Form 67–10–2).

(4) A rater potential evaluation in part IV where the required explanation has derogatory information (for DA Form 67–10–3).

(5) A senior rater potential evaluation of "Not Qualified" or "Unsatisfactory" in part VI, block a.

(6) A senior rater potential evaluation of "Qualified" or "Retain as Colonel" in part VI, block a, where the required explanation has derogatory information.

(7) Any negative or derogatory comments contained in parts IV, V, or VI of the OER.

b. A "Relief for Cause" OER submitted under the provisions of paragraph 3–55.

Note. AR 600–8–2 explains procedural requirements for a nontransferable flag for "referred" and "Relief for Cause" reports.

c. The rated Soldier's participation in an official investigation and/or providing investigating officials information protected under Public Law 101–12, known as the Whistleblower Protection Act of 1989, and/or information provided

to officials as part of official or unofficial investigations will not be mentioned on Army evaluation reports (see 10 USC 1034 and https://www.dodig.mil/programs/whistleblower/index.html).

3–28. Referred DA Form 1059 series

a. AERs with the following entries are referred or adverse reports. Such AERs will be referred to the rated Soldier or student by the reviewing official for acknowledgment and an opportunity to comment before being submitted to HQDA (detailed instructions and process for handling referred AERs are in DA Pam 623–3).

(1) Any "No" response to "Does Soldier fully support SHARP, EO, and EEO?"

(2) Any AER with a "Fail" for the APFT indicating noncompliance with the standards of AR 350–1 (if entries are applicable).

(3) Any "No" response to Within Standards related to the height and weight indicating noncompliance with the standards of AR 600–9 (if entries are applicable).

(4) Any "Did Not Meet Standard" rating.

(5) A "Did Not Graduate" reason for submission.

(6) A "Failed to Achieve Course Standards" (DA Form 1059) or "Non-Graduate" (DA Form 1059–2) rating. If "Failed to Achieve Course Standards" (DA Form 1059) or "Non-Graduate" (DA Form 1059–2) in part III, block a, is checked, the reviewing official will clearly indicate and explain deficiencies contributing to reasons associated with the box check selection within part III, block b. Examples (not all-inclusive) include assessments on the character and/or behavior of the rated student and/or lack of aptitude in certain academic areas. All "Failed to Achieve Course Standards" (DA Form 1059) and "Non-Graduate" (DA Form 1059–2) require an additional supplementary review (see para 2–17).

(7) Any comment so derogatory that the AER may have an adverse impact on the Soldier's career.

(8) Any "No" response to "Did the student successfully complete the course" (DA Form 1059–1).

b. "Released Early (No Fault of Student)" reason for submission AERs will not be annotated as referred reports.

3–29. Referral process for DA Form 67–10 series and DA Form 1059 series

The referral process ensures the rated Soldier knows that their OER (for officers) or AER (for officers or NCOs) contains negative or derogatory information and affords them opportunity to sign the OER or AER and submit comments, if desired. Senior raters (OERs) or reviewing officials (AERs) will, when possible, refer OERs or AERs to rated Soldiers before departure from the unit, organization, school, or course.

a. The senior rater (OER) or reviewing official (AER) will refer the OER or AER even if the rated Soldier is geographically separated from the senior rater (OER) or reviewing official (AER) or has departed the unit, organization, school, or course due to permanent change of station (PCS), retirement, or release from active duty.

b. If referral is required (see paras 3–27 or 3–28), the senior rater (OER) or reviewing official (AER) will ensure an "X" is placed in the appropriate box on the completed OER or AER (that is, an OER or AER that has been signed and dated by the rating officials) in part II, block d (OER), or part IV, block c1 (AER).

Note. AR 600–8–2 explains procedural requirements for a nontransferable flag for "referred" and "Relief for Cause" reports.

(1) The senior rater (OER) or reviewing official (AER) will refer a copy of the completed OER or AER (an OER or AER that has been signed and dated by the rating officials) to the rated Soldier for acknowledgment and comment. A referral memorandum for digital signature and electronic forwarding is an enclosure in the electronic DA Form 67–10 series (OER) in EES (alternatively, see DA Pam 623–3 for a referral memorandum example).

(a) A reasonable suspense date will be given for the rated Soldier to complete this action.

(b) In the referral memorandum, the rated Soldier will be advised that their comments do not constitute an appeal or request for a Commander's or Commandant's Inquiry.

(c) Confirmed acknowledgment of the OER or AER referral is required (see paras 3–27 or 3–28).

(2) Acceptable methods for referring an OER or AER to a rated Soldier after their departure include routing the referred OER or AER to them using EES, emailing it as an attachment to an email (preferably using a read receipt option), or mailing it by certified mail to a Soldier's last disclosed mailing address.

(3) Documentation of the rated Soldier's receipt or acknowledgment and/or annotation of actions taken to obtain acknowledgment are critical.

(4) The rated Soldier has the opportunity to sign the OER or AER and will decide whether or not they will submit comments, placing an "X" in the "Yes" or "No" box on the report (in part II, block d (OER), or part IV, block c1 (AER))If the rated Soldier refuses to sign the OER or AER, the senior rater (OER) or reviewing official (AER) must

enter the appropriate statement on the OER or AER prior to submission, without a signature, to HQDA (see DA Pam 623–3).

(5) Upon receipt of the rated Soldier's acknowledgment (for example, receipt of a signed OER or AER, email, signed certified mail document, signed acknowledgment statement accompanying memorandum, submission of signed comments, and so forth), the senior rater (OER) or reviewing official (AER) will enclose the suitable acknowledgment, any written comments provided by the rated Solider, and the referral memorandum with the original OER or AER for forwarding to—

(a) The supplementary reviewer (for OER if applicable).

(b) The BN or BDE S1, administrative office, or HQDA, as appropriate.

(c) The other rating officials if paragraph 3–29*c*(4) applies.

(6) In cases where the rated Soldier acknowledges receipt of the referred OER or AER, but refuses to sign the OER or AER, the senior rater (OER) or reviewing official (AER) will enter "The rated officer (or NCO or Soldier) refused to sign" in part VI, block c (OERs), or part III, block b (AERs).

c. If comments are provided, the following practices will be observed:

(1) Comments will be factual, concise, and limited to matters directly related to the evaluation on the OER or AER; rating officials may not rebut a rated Soldier's referral comments. Extraneous or voluminous material, material already contained in the officer's AMHRR, and enclosures or attachments are prohibited.

(2) Any enclosures or attachments to rebut rated Soldier comments will be withdrawn at the unit or organization-level and returned to the rated Soldier before the OER or AER is forwarded to HQDA.

(3) The rated Soldier's comments do not constitute an appeal. Appeals are processed separately, as outlined in chapter 4. Likewise, the rated Soldier's comments do not constitute a request for a Commander's or Commandant's Inquiry (see chap 4, sec II). Such a request will be submitted separately by the rated Soldier.

(4) If the senior rater (OER) or reviewing official (AER) decides that the comments provide significant new facts about the rated Soldier's performance that could affect the evaluation of the rated Soldier, they may refer the comments to the other rating officials, as appropriate. The rating officials, in turn, may reconsider their evaluations of the rated Soldier. The senior rater (OER) or reviewing official (AER) will not pressure or influence another rating official. Any rating official who elects to raise their evaluation as a result of this action may do so. However, the evaluation may not be lowered because of the rated Soldier's comments. If the OER or AER is changed but still requires referral, the OER or AER will again be referred to the rated Soldier for acknowledgment and the opportunity to provide new comments, if the rated Solider desires to provide them. Only the latest acknowledgment ("Yes" or "No" on OER or AER signed by the rated Soldier) and the last received rated Soldier's comments, if submitted, will be forwarded to HQDA.

d. If the rated Soldier fails to respond within the given suspense period, or if certified mail sent to an Soldier's last known forwarding address is returned indicating that the Soldier cannot be reached at that address, the senior rater (OER) or reviewing official (AER) will annotate on the referred OER or AER, "Rated officer (or NCO or Soldier) was not available to sign." When no signature appears on a referred OER or AER, the senior rater (OER) or reviewing official (AER) will prepare a memorandum as an enclosure to the OER or AER to document referral actions taken and whether or not there was acknowledgment of the rated Solider (a copy of the returned certified mail document and/or email referral/read receipt may be included, if used, as enclosures to this memorandum) for forwarding to:

(1) The designated individual who will perform the supplementary review, if applicable (see paras 2–16*c* and 2–17).

(2) The BN or BDE S1, administrative office, or HQDA, as appropriate.

3–30. Performance as a member of a court-martial or selection board

Duty as a member of a court-martial or an HQDA-convened selection board will not be considered in preparing an evaluation report.

3–31. Performance as counsel

No rating official will give an unfavorable rating or comment regarding a rated Soldier because they zealously represented (as counsel) any accused or respondent before court-martial or administrative board proceedings.

3–32. Performance as an equal opportunity official

A Soldier serving as an EO officer, either as a principal or additional duty, will not be given an unfavorable rating if it is based solely on the following:

a. The level of enthusiasm and zeal for implementing the Army's EO Program.

b. In retaliation for criticism of command policies and practices related to that program.

3–33. Recalled retired Soldiers

Soldiers who have returned to active duty status following retirement provide valuable service as a result of their years of experience and expertise.

a. Retired Soldiers recalled to active duty are not eligible for evaluation reports because they have completed the professional development personnel life cycle function and do not compete for subsequent promotions. Therefore, no evaluation report submitted on a recalled retiree Soldier will be processed at HQDA. Rating chains can execute all aspects of the ERS as a communication and feedback tool through informal or unofficial performance counseling of recalled retired Soldiers on a local basis.

b. Recalled retired Soldiers can serve as rating officials.

Section VII

Evaluation Report Preparation and Submission

3–34. Preparation and submission requirements

DA Pam 623–3 is the primary reference for procedural guidance on preparing evaluation reports.

a. Evaluation report forms. The forms listed below will be prepared according to procedures enumerated in DA Pam 623–3:

(1) DA Form 67–10 series (OER).

(2) DA Form 2166–9 series (NCOER).

(3) DA Form 1059 series (AER).

b. Authorized forms. Electronic applications producing OER, NCOER, or AER forms use form templates and form programs authorized by the Army Publishing Directorate.

(1) The most recent version of evaluation report forms found in EES will be used. This will guarantee that the completed forms will be compatible with HQDA-level processing and document storage system requirements. Newer form versions have increased capabilities over older form versions which will, at a designated time, be prohibited for entry through EES.

(2) Where EES electronic form guidance and the guidance in this regulation and DA Pam 623–3 conflict, the policy guidance provided in this regulation and the procedural guidance provided in DA Pam 623–3 take precedence.

Note. For evaluation report requirements for a time period prior to the publication of this regulation, the authorized form and governing policy and procedural guidance at the time of the period covered by the evaluation report will be used, whenever possible.

c. Continuous evaluation report history. Generally, Soldiers will have a continuous rating history of sequential OERs and NCOERs documenting both rated and nonrated time. The periods covered on OERs or NCOERs will not overlap. Reports submitted with "From" and/or "Thru" dates that overlap another reporting period will be placed in a Returned status awaiting correction.

(1) Rated time encompasses the time a rated Soldier has been assigned under a valid rating chain for the purposes of counseling, guidance, and evaluation of their performance and potential.

(2) Nonrated time encompasses periods of time when a rated Soldier cannot be evaluated. These periods include a wide variety of circumstances when a Soldier is not performing duty in an assigned position under a valid rating chain. Qualifying periods of nonrated time are documented on OERs and NCOERs using nonrated codes and they become part of a Soldier's rating history (see DA Pam 623–3). Comments on events or accomplishments during periods of nonrated time will not be made on OERs or NCOERs (see paras 3–17*a* and 3–18*a)*.

(3) Gaps in a Soldier's evaluation history may occur for various reasons. A majority of these gaps are acceptable, while others are unacceptable.

(a) Acceptable gaps between OERs or NCOERs include periods when a Soldier was in a nonratable status when no OER or NCOER was warranted, such as a break in service. For USAR and ARNG Soldiers, periods in the IRR or inactive national guard (ING) are nonratable periods; therefore, these periods will appear as gaps in the evaluation report history.

(b) Unacceptable gaps are periods when the rated Soldier was in a status that warranted the preparation of an OER or NCOER but rating officials failed to render an OER or NCOER. Such gap times will be resolved by the rating chain responsible for completing the missing OER or NCOER. These times will not be covered as nonrated time on any other OER or NCOER. For USAR Soldiers who fail to participate in battle assemblies, see paragraphs G–4 and G–5.

d. Nonrated time.

(1) If a rated Soldier has nonrated time that has not been accounted for on an OER or NCOER and the OER or NCOER following that nonrated time has already been completed at HQDA and posted to the Soldier's AMHRR, a rating official on the OER or NCOER, the BN or BDE S1, or the administrative office may submit a request for an administrative correction to the "From" date on the OER or NCOER to include the nonrated time in the period covered (see DA Pam 623–3). The request should be submitted to HRC (AHRC–PDV–EA) asking that the OER or NCOER following the nonrated time be administratively corrected to reflect the missing nonrated time and nonrated codes (see app F). Administratively correcting the "From" date on an OER or NCOER may cause it to not follow the rules in AR 623–3 and DA Pam 623–3 and will be considered an exception to policy. The administratively amended OER or NCOER will be placed in the rated Soldier's AMHRR and marked "Corrected Copy per HQDA Appeals Office," so the altered "From" date will be understood by future selection boards and when making career decisions.

(2) If a rated Soldier has nonrated time that has not been accounted for on an OER or NCOER and the subsequent OER or NCOER was submitted and is being processed at HQDA, but has not yet completed processing and filed in the Soldier's AMHRR, the senior rater on the OER or NCOER may contact the Evaluation Systems and Policy Office to request the evaluation be returned to them for the needed administrative corrections to the OER or NCOER (see app F).

(3) If a Soldier has nonrated time that has not been accounted for on an OER or NCOER and the OER or NCOER following the nonrated time has not been submitted to HQDA, the current rater must reflect the nonrated time with the necessary nonrated codes and reason for submission on the Soldier's OER or NCOER prior to submission to HQDA.

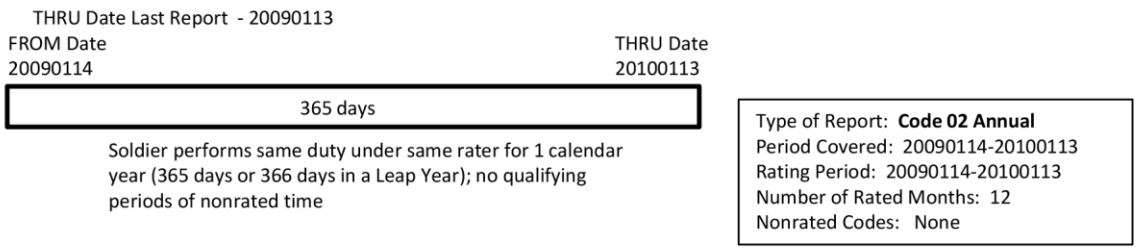
(4) Extended evaluations reports that include any nonrated time periods since the "Thru" date of the previous OER or NCOER and prior to the establishment of a new rating relationship between the rated Soldier and the rater require the preparation of a code 10, "Extended Annual" OER or NCOER (see para 3–43*a)*. The number of rated months will not exceed 12 (365 rated days) even though the period covered exceeds 1 calendar year. The "From" date for these OERs or NCOERs will be the day after the "Thru" date of the previously completed OER or NCOER with the rating period beginning the day the Soldier is assigned under an established rating chain (for example, the day a Soldier arrives at a new unit or the day the Soldier assumes their new duty position). The "Thru" date will be 12 rated months (365 rated days) after the arrival or assignment date while performing the same duties under the same rating officials during this rating period. However, if an event occurs that requires the preparation of an OER or NCOER (for example, "Change of Rater") before the 12 rated months (365 rated days) have accumulated, an OER or NCOER will be rendered with a "Thru" date that corresponds with the event requiring an evaluation. Standard reason for submission codes (for example, code 03, "Change of Rater," or code 04, "Change of Duty," and so forth) will apply on these Extended reports that end before the required 12 rated months (365 rated days), even though the period covered on the OER or NCOER may exceed 1 calendar year. The "Thru" date will be determined by the rated Soldier's circumstances. Each Soldier's situation must be considered individually, just as each evaluation report must stand alone (see fig 3–1).

(5) A rated Soldier may also receive an optional "Extended Annual" OER or NCOER under unique circumstances.

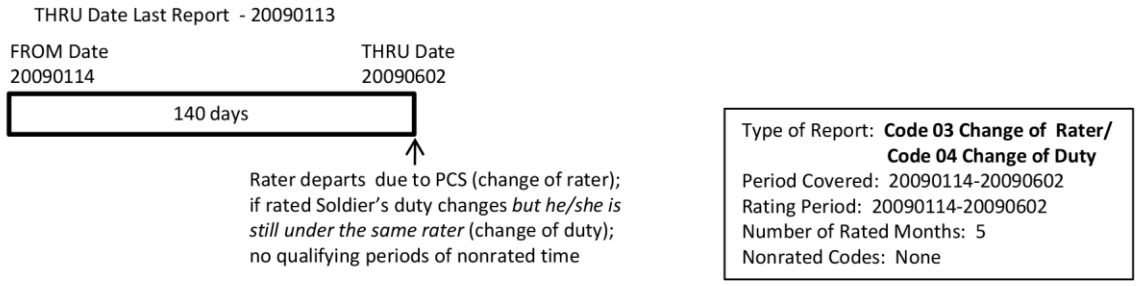
(a) When the rated Soldier has accumulated more than 10 months of consecutive nonrated time since the "Thru" date of the last completed OER or NCOER in the Soldier's AMHRR, an "Extended Annual" report may be rendered when the rated Soldier has served in the same duty position under the same rater for 90 days (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The "From" date on the "Extended Annual" report would be the day after the "Thru" date of the previous completed OER or NCOER. The "Thru" date will include 90 rated days (120 rated days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The appropriate nonrated codes (that is, Q for lack of rater qualification, S for school, I for in transit, and so forth) will be used for the nonrated periods captured on the evaluation. The number of rated months will not exceed three (four for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers).

(b) When the rated Soldier is scheduled to depart within 90 days (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers) after a code 02, "Annual" report, is due, at the option of the senior rater a code 10, "Extended Annual" report, may be rendered to preclude the accumulation of nonrated time by the rated Soldier prior to departure or having to render a 90 day (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers) "Change of Rater" evaluation when the Soldier departs. The number or rated months will not exceed 16.

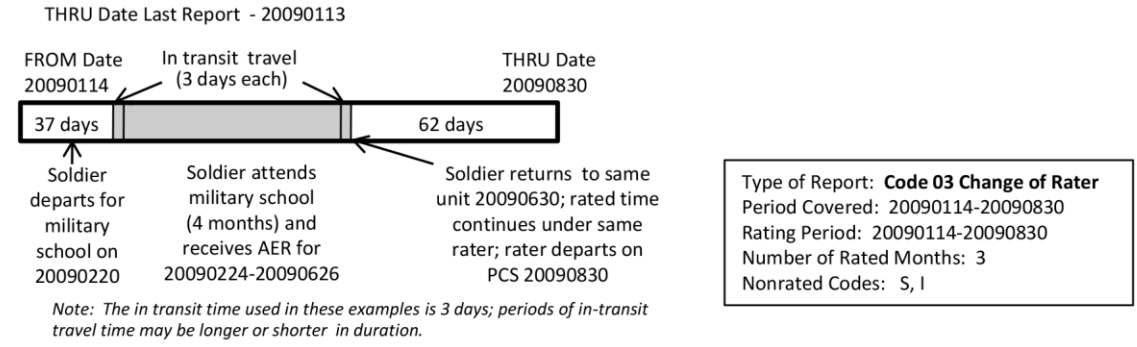
Example 1 – Annual Report (does not contain nonrated time)



Example 2 – Change of Rater/Change of Duty Report (without nonrated time)



Example 3 – Change of Rater Report (with school and return to same unit)



Note: The in transit time used in these examples is 3 days; periods of in-transit travel time may be longer or shorter in duration.

Example 4 – Extended Annual Report (with school enroute to next assignment)

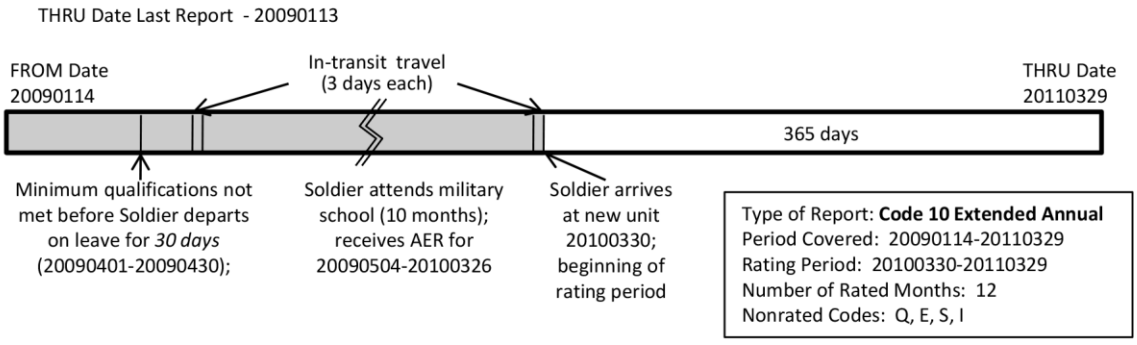


Figure 3–1. Examples of evaluation report timelines

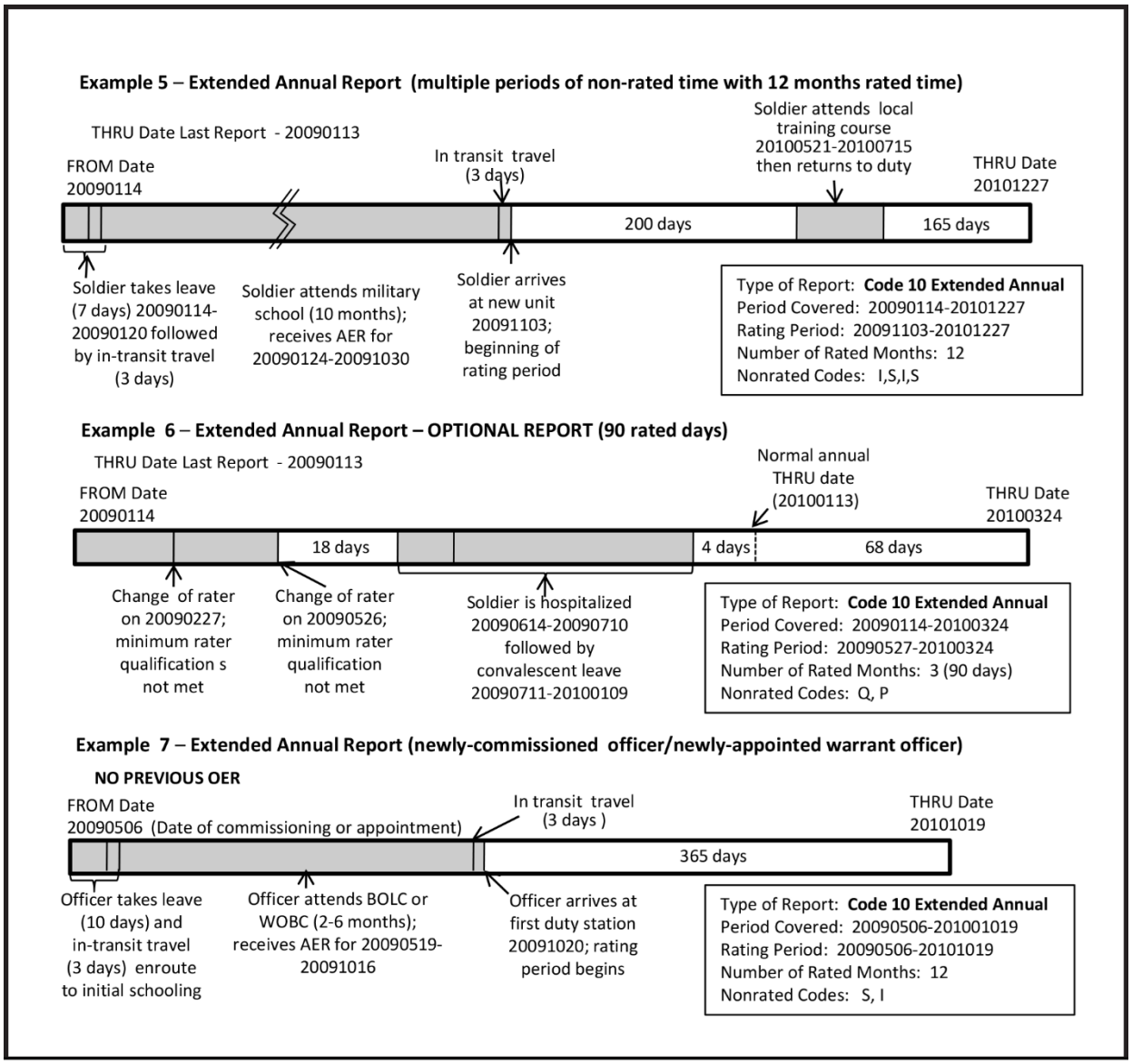


Figure 3–1. Examples of evaluation report timelines—Continued

e. Periods of nonrated time and nonrated codes. OERs or NCOERs will indicate the appropriate nonrated codes for periods such as schooling, leave of 30 days or more, a patient status, and so forth (see DA Pam 623–3). When a Soldier is serving in a different Army component, or in one of the uniformed Services, the period will not be considered nonrated time as he or she will be evaluated under that component or Service. Nonrated time will be subtracted from the period covered on OER or NCOERs and accounted for with the appropriate nonrated codes, as applicable. No comments on events that occurred during nonrated periods will be entered on OER or NCOERs (see paras 1–8, 3–15 through 3–18, 3–34, 3–40, 3–50, 3–51, 3–55, and 3–56, table 3–1 Pam 623–3).

f. Missing required evaluation statements. Commanders should exercise due diligence in maintaining rating schemes and ensuring the rendering of reports that are due. As a result, requests for issuance of missing evaluation statements should be minimized.

(1) Requests for the issuance of a missing evaluation statement will be submitted only for periods when an evaluation report should have been rendered but was not, and all efforts by the rated Soldier and his or her unit to obtain a report have been exhausted. Requests for issuance of a missing evaluation statement may only occur when two or

more years have elapsed beyond the "Thru" date for the missing mandatory report that is omitted. Until such time, a gap will remain in the Soldier's evaluation history. An exception to the two year period exists for situations in which all rating officials were relieved (see para 2–19). Requests will be reviewed on a case-by-case basis and may or may not be approved by HQDA.

(2) Requests for the issuance of missing evaluation statements addressed to the approval authority and signed by the unit commander, BN/BDE S1, or administrative office may be scanned and emailed to the Evaluation Appeals Office. State clearly in the subject line of the email that a request for issuance of a missing evaluation statement is attached. Upon receipt, the request will be redirected to the appropriate action officer. To mail requests, address them to HRC (AHRC–PDV–EA) (see app F). Again, each request will be adjudicated on a case-by-case basis.

g. Submission of evaluation reports (Evaluation Entry System). The Armywide standard for submitting evaluation reports to HQDA is electronic submission of completed, digitally signed evaluation reports on current versions of authorized electronic forms with authorized enclosures using EES at https://evaluations.hrc.army.mil/. A CAC with valid certificates is required to initiate and execute digital signatures on evaluation reports.

h. Submission of evaluation reports (alternate). The alternative submission method is to mail evaluation reports in paper format with full 10-digit DoDID number (located on the reverse side of the CAC), for the rated Soldier, the rater, and the senior rater. For rating officials who do not possess a DoDID number, an SSN is required to process the evaluation report. Rating officials may contact the HRC Evaluation Systems and Policy office (see app F) to provide the required SSN. The submitted report will be printed legibly, with full-page images, on one sheet of paper, front and back, head-to-head, or head-to-toe. A clear original evaluation report is required so legible copies of the evaluation report can be processed to the AMHRR at HQDA. Printing of reports is covered in paragraph 3–34*i*. See appendix F for addresses and contact information for mailing completed paper copies of evaluation reports and associated documents. As an exception, units deployed to a contingency theater of operations without the use of CAC or the capability to submit reports using EES are authorized to submit scanned copies of ink-signed reports from the deployed location to HQDA under the Evaluations by Email Attachment Program (https://www.hrc.army.mil/content/evaluation%20from%20deployed).

i. Printing reports. The following are basic requirements for printing evaluation reports for mailing:

(1) Single document, double-sided (may be printed either head-to-head or head-to-toe).

(2) Full 10-digit DoDID number (located on the reverse side of the CAC) for the rated Soldier, the rater, and the senior rater, as a minimum. For rating officials who do not possess a DoDID number, an SSN is required to process the evaluation report. Rating officials may contact the HRC Evaluation Systems and Policy office (see app F) to provide the required SSN. An evaluation report may contain a combination of both identifiers.

(3) Without extraneous black lines or marks.

(4) Full-sized document, as near as possible to 8 1/2 by 11-inches, with 1/2-inch margins.

(5) Aligned straight on the page.

(6) Framed on the page with all lines, edges, box checks, and numerical entries visible.

(7) Balanced contrast between light background and dark fonts (using black and white printer).

j. Signatures. Digital signatures are the standard for evaluation reports; however, manual, handwritten, or ink signatures are authorized under extreme circumstances. Digital signatures require the use of a CAC; digitally signed evaluation reports created on electronic forms within EES will be submitted to HQDA using EES. Evaluation reports created using electronic forms outside of EES may contain electronic signatures; however, they must be submitted using the authorized alternative method of submission (see para 3–34*h)*. When digitally signing an evaluation report is not possible, an ink signature may be entered on a completed evaluation report (printed with a 10-digit DoDID numbers for the rated Soldier, the rater, and senior rater as a minimum) and mailed to HRC (AHRC–PDV–ER) (see app F). For rating officials who do not possess a DoDID number, an SSN is required. Rating officials may contact the HRC Evaluation Systems and Policy office (see app F) to provide the required SSN.

k. Authentication of evaluation reports. Proper sequencing of evaluation report authentication provides credibility in the evaluation process.

(1) Members of the rating chain and the rated Soldier are the only persons authorized to sign an evaluation report. Rating officials and rated Soldiers will not sign blank evaluation reports or have someone sign for them.

(2) The rated Soldier will always be the individual to sign the evaluation report last after rating officials.

(3) Supplementary reviews, when required, will occur after reports have been authenticated by the rated Soldier and all rating officials. The rated Soldier's signature will verify the accuracy of the administrative data in part I, confirming the name and DoDID number on the evaluation report, rank and date of rank, branch or MOS data, period covered and nonrated time, the rating officials, APFT, and height and weight entries. This procedure ensures that the rated Soldier has seen the completed evaluation report. It also increases the administrative accuracy of the evaluation report and will normally preclude an appeal by the rated Soldier based on inaccurate administrative data. In the event

the rated Soldier is not available or refuses to sign, senior raters will provide an explanation in their narrative or bullet comments. If significant changes are made to a final evaluation report after the rated Soldier has signed it, the senior rater (or reviewing official on AERs) will ensure the rated Soldier has an opportunity to see the changed evaluation report as stated in paragraph 3–34*k*(5)(*b*).

(4) To facilitate the rated Soldier signing the evaluation report after its completion and signature by the rating officials, the evaluation report may be signed and dated by each individual in the rating chain up to 14 days prior to the "Thru" date of the evaluation report. However, the evaluation report cannot be forwarded to HQDA until the "Thru" date of the evaluation report. Evaluation reports submitted prior to the "Thru" date will be rejected and returned; a new evaluation report with signatures that complies with submission date requirements must be resubmitted to HQDA.

(a) For OERs and NCOERs, the senior rater's signature and date will not be before the rater's or intermediate rater's signature. The rated officer will not sign or date the OER or NCOER before the rater, intermediate rater (when applicable), or senior rater. OERs and NCOERs which require a supplementary review are then forwarded to the reviewing official for the reviewer's action and signature.

(b) For AERs, the review official's signature and date will not be before the academic rater's or academic advisor's signature. The rated Soldier/student may not sign or date the AER before any other rating official.

(5) Signature formats will appear as follows:

(a) Rating officials and rated Soldiers will enter valid digital signatures on current versions of electronic forms, which allows highest level of identity assurance. Evaluation reports with invalid signatures and omitted rating official's signatures will not be processed.

(b) Once an evaluation report has been completed and signed by the rated Soldier, any changes to content will invalidate the electronic signature approval of the rated Soldier and/or relevant rating official and will require the evaluation report to be revalidated (digitally signed with a verified or approved signature) by the individual whose content was changed. Understanding that evaluation reports may be processed without the rated Soldier's electronic signature, when this situation occurs, the senior rater or reviewing official (AER) will ensure the rated Soldier has an opportunity to see the evaluation report if significant changes are made.

(c) For manually signed, paper copy evaluation reports, signatures will be in black or dark blue ink only.

(d) Submitting paper copy evaluation reports with a combination of manual signatures and electronic approval will be authorized as long as all requirements of this paragraph are met.

l. Timeliness of submission. Evaluation reports will be forwarded error-free to reach HQDA no later than 90 days after the "Thru" date of the evaluation report. The senior rater is responsible for ensuring the timely submission of OERs and NCOERs to HQDA; the reviewing official is responsible for the timely submission of AERs to HQDA. However, HQDA centralized selection, promotion, and school board requirements may mandate receipt by a date that is earlier than 90 days after the "Thru" date of the evaluation report (see app F).

(1) Commanders and senior raters may establish local procedures to ensure timely and accurate evaluation report submission to HQDA as outlined in DA Pam 623–3. Failure to do so may result in evaluation reports not being processed to completion for filing in a Soldier's AMHRR.

(2) Evaluation reports for selection board consideration must be received at HQDA no later than the receipt date established in the MILPER message announcing the board. The HQDA receipt of evaluation reports after the required receipt date, or past a suspense date directed by an HQDA selection board, will not be an automatic basis for appealing either the evaluation report or selection board results. HQDA will process any valid evaluation report to prevent disservice to the rated Soldier. Complete Record evaluation reports not received at HQDA in a timely manner will not be processed and will be returned. The absence of a Complete Record evaluation report in the AMHRR at the time of the board's review will not be the basis to request standby reconsideration, unless the absence is due to administrative error or delay in processing at HQDA.

m. Monitoring submitted evaluations. EES and ERS will be used as the primary tool to determine the processing status and other administrative information for all OERs, NCOERs, and AERs received at HQDA. Once an evaluation report has processed to completion, it will be posted to a Soldier's AMHRR (refer to para 3–11 for information on accessing EES).

n. Evaluation report copies. Copies of evaluation reports will be handled in the following manner:

(1) The responsible senior rater or reviewing officials' (AERs) designated representative will provide each rated Soldier a copy of the evaluation report when it is completed locally and before the rated Soldier departs the organization. This copy may be provided either in paper copy or electronic format. If the Soldier departs before receiving such a copy, the responsible senior rater or reviewing official (AER) will send a copy of the completed evaluation report to the rated Soldier's forwarding address or email address.

(2) Rated Soldiers who fail to receive a copy of their evaluation report after the close of the reporting period will request a copy from their senior rater.

3–35. Special situations

The following guidance pertains to Soldiers in special situations.

a. Soldiers assigned to warrior transition units for continued medical care.

(1) The majority of Soldiers assigned to WTUs have the primary mission of healing. DA Pam 623–3 identifies the nonrated time (code H) for healing.

(2) DA Pam 623–3 identifies the nonrated time (code G) for healing with duty. The G nonrated code is unique.

(3) At the discretion of the WTU commander, Soldiers assigned to WTUs and in the care of a medical teams may be placed under a unit rating chain to perform assigned duties in conjunction with their healing mission. In these instances, the G nonrated code applies. If an OER or NCOER is prepared, the time spent in this status will be included in the number of rated months; if no report is prepared, the time the Soldier spent in this status will be included in the number of nonrated months on the rated Soldier's next OER or NCOER as the G nonrated code. Soldiers performing duties with a tenant unit will reflect the Soldier's tenant unit rating chain in the WTU's rating scheme.

(4) The Soldier must be medically cleared, in advance, to perform the position related duties they may be assigned to perform. In order to be eligible to receive an OER or NCOER for duties performed while in a healing status, the Soldier must have performed those duties for the minimum time requirement under a designated rater.

b. Newly commissioned officers and newly appointed warrant officers.

(1) A newly commissioned 2LT or a newly appointed WO1 will not receive an OER before successfully completing BOLC or WOBC. The officer's commissioning or appointment date will be the "From" date on the first OER (see para 3–35*b*(5) for exceptions).

(2) The "From" date of the first OER begins their first OER period covered on the date of their commissioning or appointment.

(3) The time from the commissioning or appointment date (including completion of BOLC or WOBC) through the day before the officer arrives at the unit of assignment is nonrated time. This nonrated time and any other qualifying nonrated periods (see DA Pam 623–3 for nonrated codes) qualifies the officer to receive a code 10, "Extended Annual" OER (see para 3–43), unless another type of OER is required.

(4) The "Thru" date of the first OER (code 10, "Extended Annual" OER) will occur when 12 rated months (365 rated days) after arrival at the assigned unit occurs while performing duties in the same position under the same rater. Only another event that requires the preparation of an OER (for example, "Change of Rater" or "Change of Duty") occurring prior to this date would change this "Thru" date.

(5) Exceptions to the above guidance apply to:

(a) United States Military Academy (USMA) graduates who remain at West Point immediately following graduation as coaches and instructors prior to attending BOLC may receive OERs as an exception to policy prohibiting active duty officers from receiving OERs prior to completion of BOLC.

(b) JAGC officers (see paras 3–52 and D–3).

(c) AMEDD officers (see para E–2).

(d) USAR TPU, DIMA, or drilling IRR officers of all branches (see para G–5*m)*.

3–36. Authorized enclosures

No enclosures, other than those listed in this paragraph, will be attached to evaluation reports when forwarded to HQDA. Unless specified otherwise, the final location for the required enclosures will be the rated Soldier's AMHRR.

a. Enclosures to DA Form 67–10 series. Only the following enclosures will be attached to the OER when forwarded to HQDA. Enclosures identified as retained by HQDA will not be filed in the rated Soldier's AMHRR with the completed report and will not be counted against the number of enclosures data found within part I of DA Form 67–10 series (OER) when the report completes to the AMHRR. All other required enclosures will be filed in the rated Soldier's AMHRR along with the completed report and will be counted against the number of enclosures data within part I of DA Form 67–10 series.

(1) Supplementary review comments, as authorized by paragraph 2–15, 2–16, or 2–17 (see fig 2–1 and 2–4) (retained by HQDA only).

(2) Memorandum substantiating a rating official's authority to evaluate (for example, announcement of assumption of command) (retained by HQDA only).

(3) HQDA-approved exception to policy authorizing a rating official to evaluate (retained by HQDA only).

(4) Senior rater's letter of referral (retained by HQDA only) and the rated officer's acknowledgment and comments regarding a referred OER (see para 3–29 and DA Pam 623–3).

(5) Rated Soldier's comments for referred OERs (see para 3–29*c)*.

(6) Senior rater's documentation to verify a Soldier's receipt of a referred OER that is unsigned by the rated officer and/or missing comments when the rated officer elected to submit comments but failed to do so by the suspense date designated by the senior rater (see para 3–29*d)* (retained by HQDA only).

(7) Documentation to verify the senior rater's attempted referral of an OER with no acknowledgment from or signature by the rated Soldier as of the suspense date designated by the senior rater.

(8) Statement from the individual directing a "Relief for Cause" OER if other than a rating official (see para 3–55*e* and fig 3–2).

(9) Commander's statement, as authorized by chapter 4, section II (retained by HQDA only).

(10) Statement from reviewer of a "Relief for Cause" report (see paras 2–17 and 2–18 and fig 2–4).

(11) Other statements or documents directed by HQDA (retained by HQDA only). These will be referred to the rated officer for comment prior to being filed.

(12) Senior Army member's approval of rater in Joint headquarters or activities (retained by HQDA only). See paragraph 2–5*b*(3)(*b*).

(13) Approved DCS, G–1 waiver of required compliance with AR 600–9 (retained by HQDA only).

(14) Enclosures that are part of the electronic DA Form 67–10 series (OER) in EES will be completed at the enclosure tab and/or attached to the DA Form 67–10 series (OER) as external documents before submitting it to HQDA. Enclosures must be in .pdf, .jpg, or .tiff format for acceptance as an attachment to the completed evaluation. Other format types will not be accepted and will result in a delay of processing the evaluation. When executed in paper format, enclosures to OERs will be prepared on 8 1/2 by 11-inch paper and attached to the OER. As a minimum, the enclosure will contain:

(a) The rated officer's full name, 10-digit DoDID number, and rank.

(b) The period of OER.

(c) The signature of the originator.

(d) The reason for the enclosure, citing the appropriate paragraph in this regulation, as applicable.

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR *(Rated Soldier's Name, Rank, DODID#, Period Covered)*

SUBJECT: Relief for Cause Evaluation Report Directed by an Official Other than Rater or Senior Rater

1. Under the provisions of AR 623-3, Evaluation Reporting System, paragraph 3-55 (OER)/paragraph 3-56 (NCOER), and AR 600-20, paragraph 2-17, I am relieving you of command/your duties as (annotate duty position/title) *(include substantiated information describing the reason for the relief).*

2. *(Provide a POC name and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)*

(Signature block of relieving official)

Figure 3–2. Sample format for a "Relief for Cause" evaluation report directed by an official other than a rating official

b. Enclosures to DA Form 2166–9 series. Only the following enclosures will be attached to the NCOER when forwarded to HQDA. Enclosures identified as retained by HQDA will not be filed in the rated Soldier's AMHRR with the completed report and will not be counted against the number of enclosures data found within part I of DA Form 2166–9 series (NCOER) when the report completes to the AMHRR. All other required enclosures will be filed in the rated Soldier's AMHRR along with the completed report and will be counted against the number of enclosures data within part I of DA Form 2166–9 series.

(1) Supplementary review comments, as authorized by paragraph 2–15, 2–16, or 2–17 (see figs 2–1 and 2–4) (retained by HQDA only).

(2) HQDA-approved exception to policy authorizing a rating official to evaluate (retained by HQDA only). Commander's statement, as authorized by chapter 4, section II (retained by HQDA only).

(3) Statement from person who directed "Relief for Cause" NCOER if other than rating official (se*e* para 3–56*e)*.

(4) Thirty-day waiver approval for a "Relief for Cause" NCOER (see para 3–56*f)*.

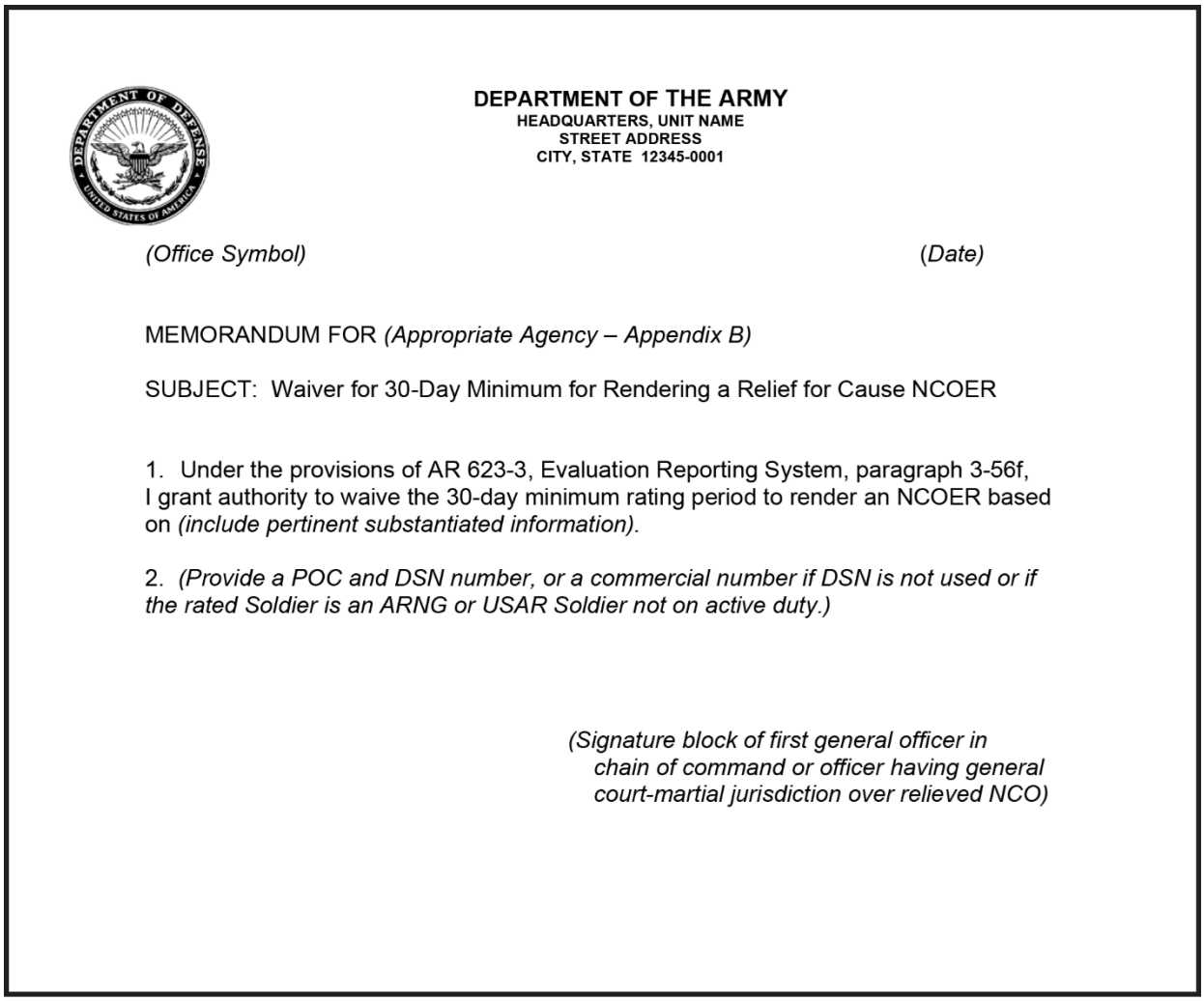
(5) Approved DCS, G–1 waiver of compliance with AR 600–9 (retained by HQDA only).

(6) Other statements or documents directed by HQDA (retained by HQDA only).

(7) Enclosures that are part of the electronic DA Form 2166–9 in EES at the enclosures tab will be completed and/or attached to the NCOER as external documents before submitting it to HQDA. When executed in paper format, enclosures to NCOERs will be prepared on 8 1/2 by 11-inch paper and attached to the NCOER. As a minimum, the enclosure will contain:

(a) The rated NCO's full name, 10-digit DoDID number, and rank.

(b) The period of the report.
(c) Signature of the originator.
(d) Reason for the enclosure, that is, supplementary reviewer memorandum (see figs 2–1 and 2–4), relieving official's statement (see fig 3–2), or 30-day relief waiver (see fig 3–3).



DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR *(Appropriate Agency – Appendix B)*

SUBJECT: Waiver for 30-Day Minimum for Rendering a Relief for Cause NCOER

1. Under the provisions of AR 623-3, Evaluation Reporting System, paragraph 3-56f, I grant authority to waive the 30-day minimum rating period to render an NCOER based on *(include pertinent substantiated information).*

2. *(Provide a POC and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)*

(Signature block of first general officer in chain of command or officer having general court-martial jurisdiction over relieved NCO)

Figure 3–3. Sample format for a 30-day minimum waiver for "Relief for Cause" noncommissioned evaluation report

c. Enclosures to DA Form 1059 series. No enclosures, other than those listed below, will be attached to DA Form 1059 series (AER).
(1) Reviewing official (DA Form 1059 and DA Form 1059–2) letter of referral (retained by HQDA only) and the rated officer's acknowledgment and comments regarding a referred AER (para 3–29 and DA Pam 623–3).
(2) Administrative reviewer (DA Form 1059–1) letter of referral (retained by HQDA only) and the rated officer's acknowledgment and comments regarding a referred AER (para 3–29 and DA Pam 623–3).
(3) Official transcripts, if required, for DA Form 1059–1 after participation in part-time, after-duty educational degree programs.
(4) AER letter issued by a fellowship sponsor when a rated Soldier is attending a resident fellowship at a civilian institution.
(5) Comments from the supplementary reviewer.

3–37. Modifications to previously submitted evaluation reports

This paragraph addresses requests for modifications to both completed evaluation reports that are filed in a Soldier's AMHRR and evaluation reports that are being processed at HQDA prior to completion.

a. An evaluation report accepted by HQDA and included in the official record of a rated Soldier is presumed to—

(1) Be administratively correct.

(2) Have been prepared by the properly designated rating officials who meet the minimum time and grade qualifications.

(3) Represent the considered opinions and objective judgment of the rating officials at the time of preparation.

b. Requests for modifications to evaluation reports already posted to a Soldier's AMHRR require use of the Evaluation Report Redress Program (see chap 4 and DA Pam 623–3).

c. Requests that a completed evaluation report filed in a Soldier's AMHRR be altered, withdrawn, or replaced with another evaluation report will not be honored if the request is based on the following:

(1) Statements from rating officials that they underestimated the rated Soldier.

(2) Statements from rating officials that they did not intend to assess the rated Soldier as they did.

(3) Requests that ratings be revised.

(4) Statements from rating officials claiming administrative oversight or typographical error in checking blocks for professional competence, performance, or potential. Therefore, it is imperative that rating officials ensure evaluation reports are accurately recorded prior to signing.

(5) Statements from rating officials claiming OERs or NCOERs were improperly sequenced to HQDA by the unit or organization.

(6) A subsequent statement from a rating official that they rendered an inaccurate evaluation of a rated Soldier's performance or potential in order to preserve higher ratings for other officers or NCOs (for example, those in a zone for consideration for promotion, command, or school selection).

d. For evaluation reports that have been completed and filed in a Soldier's AMHRR, administrative and substantive appeals will be submitted within 3 years of an evaluation report "Thru" date. Administrative errors for administrative appeal or correction are administrative errors so significant as to affect not only personnel management decisions, but selection board proceedings and career decisions. HQDA will not conduct minor spelling, grammatical, and/or punctuation corrections that would have been easily revealed through review of the evaluation (see para 3–37). Rating officials must make a concerted effort to ensure every evaluation is reviewed for these types of minor administrative errors prior to submission to HQDA for examination and inclusion into the rated Soldier's AMHRR (see para 4–8).

e. An exception to paragraph 3–37*c* is granted for evaluation reports when information that was unknown or unverified when the evaluation report was prepared is brought to light or verified and this information is so significant that it would have resulted in a different evaluation of the rated Soldier. The following actions will be accomplished in an effort to modify the evaluation report:

(1) If the information would have resulted in a higher evaluation, the rated Soldier may appeal the evaluation report, and rating officials may provide input to support this point (see DA Pam 623–3).

(2) If the information would have resulted in a lower evaluation, rating officials may submit an addendum to be filed with the evaluation report (see DA Pam 623–3).

3–38. Newly received favorable information

a. Rating officials who become aware of information that would have resulted in a higher evaluation of a rated Soldier will notify the rated Soldier of the newly received favorable information and assist the Soldier in his or her efforts to alter or remove the original evaluation report in accordance with the appeal policy stated in chapter 4 and procedures in DA Pam 623–3.

(1) Rating officials will prepare a memorandum specifying the newly received favorable information precisely; how it was obtained, whether it was factually confirmed, and how it would change the completed evaluation had the information been known in writing the original evaluation report.

(2) This memorandum will be provided to the rated Soldier for consideration and use should the rated Soldier choose to appeal the evaluation report.

(3) Addenda and addenda processes will not be used to capture this type of information.

b. If new favorable information potentially resulting in a higher evaluation is discovered by the Soldier, he or she may appeal the evaluation report based on the new information in accordance with the appeal policy stated in chapter 4 and procedures in DA Pam 623–3. Rating officials may provide input to support modification of the original report. This action is considered an appeal.

3–39. Newly received derogatory information for DA Form 67–10 series, DA Form 2166–9 series and DA Form 1059 series

Rating officials will submit an addendum to a previously submitted OER, NCOER, or AER when they become aware of new information that would have resulted in a lower evaluation of the rated officer or NCO after an OER, NCOER, or AER has been processed to the rated Soldier's AMHRR and is a matter of record. (See DA Pam 623–3 for additional information on preparing addenda).

a. The first commander or commandant in the rated Soldier's current chain of command who receives new information (for example AR 15–6 investigation, IG investigation, EO investigation, and so on) about a rated Soldier will ensure that all members of the original rating chain for the OER, NCOER, or AER impacted by this new information are aware of it and are allowed to comment. If none of the original rating officials want to change or add to the original OER, NCOER, or AER, no addendum will be prepared.

b. The addendum will be prepared as shown in DA Pam 623–3. The addendum will contain the rated Soldier's name, grade, DoDID number, the type of evaluation report, and the period covered by the evaluation report to which it applies. It will also state that all members of the rating chain have been allowed to add or change comments, and it will list those who did not want to comment.

c. Upon completion of this action, the commander or commandant will refer a copy of the addendum to the rated Soldier for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to the appropriate HQDA component (see app F).

d. No changes will be made to the original evaluation report in the rated Soldier's AMHRR, but the addendum will be appended to the OER, NCOER, or AER to which it has been prepared, along with any comments from the rated Soldier.

e. If the commander or commandant is not a member of the original rating chain, their responsibility is only to coordinate the submission of the addendum. The commander or commandant may not add comments to the addendum unless they were a member of the original rating chain.

f. If any of the rating officials have been reassigned, released from active duty, incapacitated, or are otherwise unable to complete their part of an addendum prior to an investigation involving the rated Soldier, the commander or commandant will so indicate. If the rated Soldier cannot be contacted for review, the commander or commandant will comment on the action taken and the inability to contact the rated Soldier before submitting the addendum to HQDA. Specific instructions for referral are detailed in paragraph 3–29.

Section VIII

Mandatory Evaluation Reports

3–40. Basic rules

a. The OERs and NCOERs listed in this section are required if the rated officer or NCO has completed at least 90 calendar days in the same position under the same rater during the same rating period. Periods when the rater is in a nonrated status and, therefore, ineligible to evaluate the rated officer or NCO (such as attendance at a school, when suspended, in a patient status, in a leave status for 30 days or more, and so forth) will not be counted in the 90 calendar-day period. On these OERs and NCOERs, the rater will complete the evaluation; however, intermediate raters (OERs only) and senior raters will evaluate only if they have the required 60 calendar days in the rating chain. Senior Rater Option ("SR-Option") reports for officers and NCOs who are due a mandatory OER or NCOER within 60 calendar days of the change in senior rater will be treated as mandatory reports (see para 3–58*b)*. Codes and reasons for submission are addressed in DA Pam 623–3. Authentication by all rating officials is mandatory. The minimum required rating period for USAR TPU, DIMA, and drilling IRR officers and ARNG officers is 120 calendar days; minimum senior rater qualification is 90 calendar days (apps G and H).

b. Continuous, extended periods of nonrated time on an OER or NCOER require special considerations. When a Soldier has received an OER or NCOER within 90 days (or 120 days for USAR TPU, DIMA, or drilling IRR Soldiers) of the start of a continuous nonrated period longer than 9 months (or 8 months for a USAR TPU, DIMA, or drilling IRR Soldiers) because of schooling, patient status, or any other reason covered by a nonrated code where the Soldier is not performing duties at an assigned unit, they will receive an "Extended Annual" report unless an event occurs that requires another type of OER or NCOER to be prepared. Resulting OERs or NCOERs will reflect a Period Covered on the report that is greater than 1 calendar year (including nonrated time), but the Rated Months entry cannot exceed 12 months (365 rated days). Examples are shown in figure 3–1. See paragraphs 3–34 and 3–43 regarding nonrated time and extended evaluation reports and DA Pam 623–3. Special guidance exists for evaluation reports for Soldiers in WTUs and newly commissioned officers and/or newly appointed warrant officers (see para 3–35).

c. During periods of mobilization (for example, mobilized, temporary change of station (TCS), active duty for operational support–Reserve Component (ADOS–RC), active duty for operational support (ADOS), or contingency operations–active duty for operational support (CO–ADOS)), USAR and ARNG Soldiers will follow Regular Army rules for evaluation reports. When an entire unit is mobilized, and rating officials remain intact, an evaluation report is not required at the time of mobilization unless otherwise required under this chapter (for example, "Change of Rater" or "Change of Duty"). Individual Soldiers who are mobilized will receive an evaluation report (for example, "Annual," "Change of Rater," or "Change of Duty") in accordance with the provisions of this chapter if minimum rater qualifications are met. See appendixes G and H for USAR and ARNG-specific evaluation reporting requirements.

3–41. "Change of Rater" report

a. A code 03, "Change of Rater" OER, is mandatory when the rated officer ceases to serve under the immediate supervision of the rater and minimum rating qualifications have been met.

b. A code 03, "Change of Rater" NCOER, is mandatory when—

(1) The rated NCO ceases to serve under the immediate supervision of the rater and minimum rating qualifications have been met.

(2) A rated NCO is reduced to the rank of specialist or below, if minimum rating qualifications have been met. Part I, block c, will contain the reduced rank and part I, block d, will reflect the effective date of the reduction. Reduction to another NCO grade does not require an NCOER (see DA Pam 623–3).

c. Rated officers and NCOs, upon retirement, discharge, change of duty under the same rating chain, or reassignment to an IRR control group (for USAR Soldiers only), will use a code 04, "Change of Duty" report, with the appropriate reason for submission instead of code 03 (see para 3–44). Indicate the appropriate reason for submission in part I, block i, on the OER and part I, block g, on the NCOER in accordance with DA Pam 623–3. The "Thru" date of the OER or NCOER will be the last day of supervision/last work day before starting work in the new duty assignment, being released from active duty service, or beginning of transition leave. Exceptions for retirement OERs and NCOERs of less than 1 year are addressed in paragraph 3–44. A USAR or ARNG officer or NCO, upon release from active duty in annual training (AT), ADT, ADOS–RC, ADOS, or CO–ADOS, will receive a code 12 report that reflects the status from which they are being released (see para 3–48 and DA Pam 623–3 for the appropriate nomenclature for each type of report).

d. A "Change of Rater" report will be prepared for a rater's subordinates when there is a loss of a rater as a rating chain member (see para 2–19). The "Thru" date on these reports will be the date of the incident when the rater PCSs, dies, is declared missing, is relieved, or becomes incapacitated to such an extent that the commander, with the advice of medical authorities, when necessary, believes the rater is unable to submit an accurate evaluation. Paragraph 2–19 addressees rating chain rules and restrictions.

e. When a rated officer or NCO is declared missing or becomes a prisoner or hostage, an OER or NCOER is required as of the date of the incident. Under these situations, rating chain time minimums do not apply. OERs or NCOERs will not be rendered on Soldiers for periods during which they are missing, prisoners of war, or hostages. The effect, if any, of a Soldier's status on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the UCMJ, will be governed by the laws and regulations pertaining to the particular action.

f. When an NCO is accepted for Warrant Officer Candidate School (WOCS), a "Change of Rater" NCOER will be prepared with a "Thru" date that is the day before the warrant officer departs for WOCS. If an NCO does not graduate from WOCS, the time will be counted as nonrated time (code S) on the next NCOER. Upon appointment as a warrant officer, the warrant officer's first OER, which will begin after completion of WOBC, will have a "From" date that is the date of appointment. This paragraph does not apply to USAR TPU, DIMA, or IRR Soldiers (see para G–5 for guidance on OERs for newly commissioned USAR officers and newly appointed USAR warrant officers).

3–42. "Annual" report

a. A code 02, "Annual" report, is mandatory for a rated Soldier upon completion of 1 calendar year of duty, without periods of nonrated time, following the "Thru" date of the last OER or NCOER in the Soldier's AMHRR (or, for USAR and ARNG Soldiers, following 1 calendar year out of the IRR or ING, see paras G–5*a* and H–11*b).*

Note. A calendar year is 365 days or 366 days if the leap year date 29 February is included in the period covered.

(1) If 1 calendar year has elapsed and the rated Soldier has not performed the same duty under the same rater for 90 calendar days (120 days for USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers), an Extended "Annual" report (see para 3–43*b)* will be submitted.

(2) If the rated Soldier has gone on temporary duty (TDY) to attend a school and the "Annual" report is due, the depart TDY report (see para 3–45) may be prepared and processed before the Soldier departs to reestablish an annual cycle or an "Extended Annual" report (see para 3–43) may be prepared upon return to the same duties with the same rating officials.

(3) An "Annual" report will not be submitted when the provisions for the "Change of Rater" (see para 3–41) or "Change of Duty" (see para 3–44) reports also apply.

b. Specific for NCOERs, an "Annual" report will be submitted—

(1) One calendar year after the effective date of promotion to SGT, unless another type of mandatory report is rendered before the year has elapsed.

(2) One calendar year after a reversion date to an NCO status following service as a commissioned or warrant officer for 12 months or more.

(3) One calendar year after re-entry on active duty in the rank of SGT or above after a break in service.

c. When nonrated periods exist within the first calendar year (that is, 365 calendar days), a code 10, "Extended Annual" report, will be rendered upon completion of 12 rated months (that is, 365 rated days).

d. When an annual OER or NCOER is due within 60 calendar days (90 days for USAR TPU, DIMA, or drilling IRR Soldiers) when a change in senior rater will occur, the senior rater will submit an "SR-Option" report in such cases to prevent an OER or NCOER from being submitted without a senior rater evaluation.

3–43. "Extended Annual" report

There are two types of "Extended Annual" reports; one is mandatory to cover nonrated periods since the previous evaluation when 1 calendar year has elapsed, the other is optional and used only in exceptional situations.

a. A mandatory code 10, "Extended Annual" report, will be prepared when any nonrated time periods have occurred since the "Thru" date of the previous OER or NCOER (for example, prior to the establishment of a new rating relationship between the rated Soldier and the rater). The "From" date of the period covered on the "Extended Annual" report will be the day after the "Thru" date of the last OER or NCOER. The rating period begins the day the Soldier is assigned under an established rating chain (for example, the day a Soldier arrives at a new unit or the day the Soldier assumes their new duty position). The "Thru" date will be 12 rated months (365 rated days) after the arrival or assignment date while performing the same duties under the same rating officials during this rating period. There is no required length or type of nonrated time between the "Thru" date of the last OER or NCOER and the establishment of a new rating relationship in order to render an "Extended Annual" report. The period covered on the "Extended Annual" report will be longer than 1 calendar year, but the rating period or rated months (period covered minus nonrated time) will be no more than 12 months (365 rated days).

(1) Use of the electronic form in EES to document nonrated periods will calculate the number of rated months; nonrated codes are found in DA Pam 623–3. Additional information on nonrated time is found in paragraphs 3–34 and G–4. The intent of this type of report is to give a rated Soldier an evaluation similar to an "Annual" report containing 12 rated months after arrival in a new unit or position under a rater, unless another type of mandatory or optional evaluation is warranted (for example, "Change of Rater," "Change of Duty," "Complete the Record," or "SR-Option"). Normally, this type of report will be rendered as the first evaluation for newly assigned officers and NCOs in an organization. It will be followed successively by other types of reports (for example, "Annual," "Change of Rater," "SR-Option," "Complete the Record," and "Relief for Cause").

(2) When another type of report with an extended period covered is prepared, the standard reason code and reason for submission will be used (see DA Pam 623–3). Figure 3–1 contains example of timelines to show when an "Extended" report is prepared.

(3) All schooling periods, whether or not the Soldier receives an AER, will be accounted for as nonrated time on OERs or NCOERs along with other types of nonrated time (for example, leave, lack of rater qualification, TDY, permissive TDY, and in-transit travel) (see paras 1–8, 3–34, 3–40, 3–50, and 3–51).

(4) Special circumstances, as outlined in paragraph 3–35, pertain to:

(a) Newly commissioned officers and newly appointed warrant officers who have not yet attended BOLC or WOBC. This does not apply to officers in the USAR (see para G–5*m*), JAGC (see paras D–3 and D–4), and AMEDD (see para E–2).

(b) Soldiers in a nonratable status, which will always appear as an acceptable gap in the rated Soldier's evaluation report history (see para G–4). "Extended Annual" reports will not be used to cover unacceptable gap periods when an evaluation should have been prepared by a rating chain but was not (see para 3–34*f*(1)).

(5) For rated Soldiers who attended Army-approved transition team training, the rater (and the rated Soldier) will certify the training dates as nonrated time on the "Extended Annual" report; therefore, no DA Form 87 (Certificate of Training) will be submitted as an enclosure to the evaluation.

(a) The appropriate nonrated codes to account for the nonrated period normally include, but are not limited to, nonrated code Q for lack of rater qualification and nonrated code T for TCS.

(b) If the Soldier's rating chain is established during transition team training, the rating period may begin the day the rating chain is established and not the day of arrival in the location or country of assignment.

b. An optional "Extended Annual" report may be prepared under unique circumstances.

(1) When the rated Soldier has accumulated more than 10 months of consecutive nonrated time since the "Thru" date of the last completed OER or NCOER in the Soldier's AMHRR, an "Extended Annual" report may be rendered when the rated Soldier has served in the same duty position under the same rater for 90 days (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The "From" date on the "Extended Annual" report would be the day after the "Thru" date of the last OER or NCOER. The "Thru" date will include 90 rated days (120 rated days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The appropriate nonrated codes (that is, Q for lack of rater qualification, S for school, and I for in transit) will be used for the nonrated periods captured on the evaluation. The number of rated months will not exceed three (four for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). This type of "Extended Annual" report allows the Soldier to get an evaluation as soon as rating qualifications have been met following nonrated periods totaling 9 months or more (8 months or more for USAR TPU, DIMA, or drilling IRR Soldiers and ARNG Soldiers).

(2) When the rated Soldier is scheduled to depart, or the rater will depart within 90 days (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers) following a due mandatory code 02, "Annual report," and the rated Soldier maintains the same duty position and same rating officials, at the option of the senior rater, an "Extended Annual" report may be rendered to preclude the accumulation of nonrated time prior to these departures or having to render a follow-on 90 day "Change of Rater" evaluation when these scheduled departures occur (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). For these situations when either the rated Soldier and/or rater departs, the "Thru" date on this type of evaluation will be the date when the rater to ratee relationship terminates. The number of rated months will not exceed 16. Use of the electronic form in EES will calculate the number of rated months when entering date range for each nonrated code; nonrated codes are found in DA Pam 623–3.

3–44. "Change of Duty" report

a. A code 04, "Change of Duty" report, is mandatory when a rated Soldier is reassigned to a different principal duty while still serving under the same rater or when the Soldier is separated from Army service. The reason for submission will reflect the event that warranted the generation of an evaluation (that is, change of duty, discharge, separation, or retirement). No report is submitted when organizational changes merely alter the rated Soldier's principal duty title but do not change the type of work performed (for example, personnel management staff officer to Assistant G–1). A mandatory code 03, "Change of Rater" report, will be prepared when a change of duty also results in a change of rater (see para 3–41).

b. A report is mandatory when a rated Soldier is separated from active duty service. It is important for raters and senior raters to identify on the final evaluation any unique skills or talents a rated Soldier possesses on which the Army can capitalize in the future if the Soldier is recalled to active duty service or mobilized in the USAR or ARNG.

c. As an exception, retirement evaluations of less than 1 calendar year will be rendered at the option of the rater or senior rater, or when requested by the rated Soldier. Retirement evaluations that conclude a Soldier's military career will have a "Thru" date that is the final day of supervision or last duty day before beginning transition leave or before retiring (if no transition leave will be taken). Rating official minimum time requirements apply.

d. When the rated Soldier is declared missing or becomes a prisoner or hostage in the context of military action, an OER or NCOER is required as of the date of the incident. Under these situations, rating official minimum time requirements do not apply. Evaluations will not be rendered on Soldiers for periods during which they are missing, prisoners of war, or hostages. The effect, if any, of a Soldier's status on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the UCMJ will be governed by the laws and regulations pertaining to the particular action.

3–45. Depart Temporary Duty, Special Duty, or Temporary Change of Station report

A code 06, Depart TDY/SD/TCS OER or NCOER, will be submitted on a rated Soldier by the rating officials in the organization from which they depart on TDY, special duty (SD), or TCS to perform duties not related to their primary functions in the unit, and while on TDY, SD, or TCS, they serve under a different immediate supervisor for a period of 90 or more calendar days. However, this evaluation is not required before departure on TDY for schooling (AER-producing school or otherwise; for example, a course issuing a certificate of training).

a. In cases where it cannot be determined if such duty-related TDY, SD, or TCS will last for 90 days, a report may be submitted.

b. In cases when known mandatory OERs or NCOERs (such as "Annual" and "Change of Rater") will be due while Soldiers are attending schooling (AERs counting as nonrated time on an evaluation), this type of report may be submitted to alleviate the need for a mandatory report while at school. Also, in these circumstances an "Extended Annual" report is an option (see para 3–43).

c. An evaluation is not authorized when the rated officer or NCO on TDY, SD, or TCS is still responsible to or receiving guidance or instruction from the chain of command of the parent unit or assigned organization.

d. A Soldier who is attached to an organization pending compassionate reassignment remains responsible to the parent unit and will not receive an evaluation from the attached organization. A memorandum of input from the supervising officials of the attached organization to the Soldier's rating officials is mandatory (see table 3–1).

3–46. Temporary Duty, Special Duty, or Temporary Change of Station report

Rated Soldiers on TDY, SD, or TCS who are attached to the visited organization for rating purposes, as stated in their orders, will be rated by their TDY, SD, or TCS supervisors according to rating chain requirements (see paras 2–3 and 2–4). In these cases, the TDY, SD, or TCS supervisor is responsible for ensuring that a rating chain is published and that a DA Form 67–10–1A is initiated on the rated officer or a DA Form 2166–9–1A is initiated on the rated NCO. Supervisors of the TDY, SD, or TCS unit or location are not authorized to render any type of report for periods of fewer than 90 calendar days, unless otherwise authorized as an exception. Rated Soldiers on TDY, SD, or TCS who are in attendance at courses of instruction are evaluated on AERs and, as such, the period is counted as nonrated time on the next OER or NCOER.

Table 3–1
Temporary duty, special duty, and temporary change of station not related to principal duty

Period of TDY, SD, or TCS	Required evaluation	Optional evaluation	Dispositions
0 to 59 days	None	Letter of input to rater	Note 1
60 to 89 days	Letter of input to normal rater	None	Note 1
90 days or more	Evaluation report		Note 2

Notes:

[1] Letter of input is prepared by the TDY, SD, or TCS supervisor and sent to the rated Soldier's normal rater. The normal rater will consider this information when preparing the rated Soldier's next evaluation report. The letter of input will not be enclosed with the evaluation report when it is forwarded to HQDA.

[2] A complete evaluation report is prepared as a code 04, "Change of Duty" evaluation report, by the TDY, SD, or TCS supervisor and forwarded to HQDA by the senior rater.

3–47. Failed Promotion Selection report (DA Form 67–10 series only)

The provisions of this paragraph do not apply to NCOs or USAR and ARNG officers.

a. An officer who fails to be selected for promotion by a Regular Army promotion board will receive a code 11, Promotion OER, prior to the next promotion board of the same type. The following conditions apply:

(1) The rated officer has not received an OER since the convene date of the board that did not select the officer for promotion. Any other mandatory OER that is due prior to the required "Thru" date for a promotion OER as stated in the MILPER message announcing the promotion selection board will be prepared.

(2) The rating period must cover 90 or more calendar days as of the date in an HQDA message announcing the zone of consideration for the next board that will consider the rated officer. This date will be the same as the date used for a Complete Record report (para 3–57).

(3) The minimum time requirements for the rater are satisfied.

b. This type of OER does not apply to officers who are not in a regular duty environment with an established rating chain (for example, officers attending school are not eligible for an OER).

c. This requirement does not apply to officers being considered by an HQDA selection board for promotion to the grade of BG.

3–48. Release from Active Duty Service report (U.S. Army Reserve and Army National Guard only)

This evaluation is used only for USAR and ARNG Soldiers upon their release from service on active duty, in accordance with appendixes G and H. The reason for submission is code 12. The Soldier's status during their service on active duty will determine the reason for submission as follows (see DA Pam 623–3):

a. Release from annual training (REFRAT). IRR Soldiers who perform AT with an Army Reserve or Regular Army unit will receive an evaluation upon completion of their AT. TPU and DIMA Soldiers who perform their AT with a unit other than their parent unit will be rendered a letter of input by the unit where AT was performed (see app G).

b. Release from active duty for training (REFRADT).

c. Release from active duty for operational support (REFRADOS).

d. Release from active duty for operational support–Reserve Component (REFRADOS–RC).

e. Release from contingency operations–active duty operational support (REFRCO–ADOS).

Section IX

Mandatory Evaluation Reports Other than 90-Day Minimum

3–49. Basic rule

Reports will be prepared on the occasions outlined in this section. Specific time requirements, if any, are listed with each condition causing a report to be written. Authentication by all rating officials is mandatory.

Note. As a reminder, a requirement exists for a mandatory "SR-Option" report to be prepared under the conditions stated in paragraph 3-58b.

3–50. Service school academic evaluation reports (DA Form 1059 and DA Form 1059–2)

DA Form 1059 and DA Form 1059–2 are used, as applicable, to report the performance of students attending Army schools, DoD schools, USAR and ARNG schools, NCO academies, allied nation schools, and Reserve Component (RC) chaplain candidates for inactive duty training (IDT), as well as formal schooling as prescribed below. All of these are considered Service schools.

a. For resident students in courses greater than two weeks, the time period covered by a DA Form 1059 and DA Form 1059–2 producing schools will be counted as nonrated time on the OER or NCOER that covers the same period. Some instances exist for Soldiers enrolled in nonresident courses who will receive an AER assessment for the nonresident course as the same period of time of an OER or NCOER. In these instances, the AER assessment period will not be counted as nonrated time for any due OER or NCOER. Comments pertaining to academic performance during the nonresident course will only be used on the DA Form 1059 or DA Form 1059–2 and will not be included in OERs or NCOERs. DA Pam 623–3 contains DA Form 1059 and DA Form 1059–2 preparation and processing instructions. DA Form 1059 and DA Form 1059–2 will be forwarded to the proper headquarters in accordance with appendix F and will be posted in the rated Soldier's AMHRR.

b. The CG, TRADOC; the Commander, AMEDD Center and School; TJAG; and the Chief of Chaplains determine course structure and which Service schools or courses will provide DA Form 1059 and DA Form 1059–2 to students. This is particularly true for multi-phased courses.

c. A DA Form 1059 is required for students attending the following courses (this list is not all-inclusive):

(1) Commissioned officers attending basic and advanced branch officer courses. The DA Form 1059 will address both the basic core course and the Army Operations Center training when the latter course follows the first. Only if the Army Operations Center is scheduled for 60 or more days may a separate DA Form 1059 be rendered.

(2) All branch transition courses.

(3) Warrant officer basic and advanced courses and all staff and senior staff warrant officer training courses.

(4) AMEDD Academy of Health Sciences courses.

(a) Students participating in dietetic internships, occupational therapy clinical affiliation, and the U.S. Army-Baylor Program in Physical Therapy.

(b) Phases I and II of the Physician Assistant Training Program, which are exceptions to the prohibition against requiring OERs for pre-commissioning or appointment courses.

d. A DA Form 1059 is required for NCOs attending the following courses (this list is not all-inclusive):

(1) An MOS-producing school when the primary MOS was awarded due to previous training, advanced individual training, or on-the-job training (OJT).

(2) NCO education system courses (regardless of length or component), including the following:

(a) Basic Leader Course.

(b) ALC.

Note. For Soldiers who complete SSD–2, a G code will be awarded through ATRRS and annotated on a Soldier's enlisted records brief. A DA Form 1059 is not awarded to Soldiers unless there is no ALC technical phase for a Soldier's MOS.

(c) Senior Leader Course.

(d) U.S. Army Sergeants Major Course.

(e) Master Leader Course.

(f) Battle Staff NCO Course 000–ASI2S at the USASMA.

(g) USAR and ARNG NCOs taking courses at Army schools or colleges (except trainees attending their initial ADT).

e. DA Form 1059 is not authorized for students meeting the following conditions:

(1) Regular Army students in good academic standing who voluntarily withdraw from an elective course of instruction requiring a DA Form 1059, short of completion. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the school commandant to the appropriate HRC career branch for use as deemed appropriate by the CG, HRC; TJAG; and the Chief of Chaplains, as appropriate. The time will be declared nonrated on the next OER or NCOER.

(2) Students in good academic standing who are eliminated from Initial Entry Rotary Wing for flight deficiency only. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the elimination approval authority to HRC (AHRC–OBE–V), for use as deemed appropriate by CG, HRC. The time will be declared nonrated on the next OER or NCOER.

(3) Students who volunteered for, but either withdrew or were eliminated from, the Special Forces, Civil Affairs, or Psychological Operations Qualification Course (and related corollary courses) and were unable to complete all of the required training. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the respective regimental commandant to the appropriate HRC career branch for use by the CG, HRC. The time will be declared nonrated on the next OER or NCOER.

(4) Courses for which TRADOC has deemed a DA Form 1059 inappropriate, AMEDD first-year postgraduate medical and dental education internships, residencies, and fellowships at Army installations (see AR 351–3).

(5) Officers in the TJAG's FLEP require only a transcript of grades while attending law school, unless the FLEP officer is not performing OJT in a JAGC office. In those cases, the FLEP officer requires a DA Form 1059–1 to account for the civilian schooling time period. See paragraph 3–52*c* below.

(6) Enlisted personnel attending initial military training courses (basic training) or advanced individual training leading to the award of their initial MOS to include re-entry personnel.

(7) Defense Language Institute courses for enlisted personnel in the ranks of specialist or CPL and below at the time of graduation.

(8) Pre-commissioning/appointment courses (that is, USMA Preparatory School, Officer Candidate School (OCS), and WOCS with follow-on proponent certification course), except phase I and II of the Physician Assistant Training Program, which are exceptions and require OERs.

(9) Students who volunteered for, but either withdrew, did not complete, or were eliminated from, the 230–25D30 (CP) Cyber Network Defender course and were unable to complete all of the required training. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the respective commandant to HQDA (HRC-(appropriate career branch)), for use by the CG, HRC. The time will be declared nonrated on the NCOER.

(10) Students who volunteered for, but either withdrew, did not complete, or were eliminated from, the 4–11–C32–255S (CP) Information Protection Technician Warrant Officer Advanced Course (certification) and were unable to complete all of the required training. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the respective commandant to the appropriate HRC career branch for use by the CG, HRC. The time will be declared nonrated on the OER.

(11) Students who volunteered for, but either withdrew, did not complete, or were eliminated from, the Cyber Operations Technician Qualification Course, Electronic Warfare Technician Qualification Course, or Cyber Branch Transition and Integration Training (SIGE2810 and SIGE3810) and were unable to complete all of the required training. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the respective commandant to the appropriate HRC career branch for use by the CG, HRC. The time will be declared nonrated on the OER.

f. DA Form 1059 is not authorized for USAR or ARNG Soldiers participating in:

(1) ALC (phase I).

(2) Enlisted initial active duty for training.

(3) USMA Preparatory School.

(4) OCS.

(5) Refresher courses of fewer than 80 hours.

g. Regular Army personnel may be granted constructive or equivalent school credit by the CG, HRC; TJAG; the Chief of Chaplains; or CG, TRADOC. Requests will be forwarded to the appropriate career management division in accordance with AR 350–1.

h. All RC chaplain candidates in IDT status will receive an "Interim Report" reason for submission DA Form 1059 every 12 months for unit training assemblies and AT. A final "Course Completion" DA Form 1059 will be rendered after the completion of all training. When enrolled in a resident or nonresident course for additional training, a DA Form 1059 will be rendered as prescribed in this regulation.

i. For courses of instruction that exceed 12 months, an "Interim Report" reason for submission DA Form 1059 will be prepared annually. The "Interim Report" reason for submission DA Form 1059 will comment on the student's progress at the time of preparation. A final "Course Completion" or "Did Not Graduate" reason for submission DA Form 1059 will be prepared and submitted to HRC (AHRC–PDV–ER) to arrive no later than 90 days after completion or termination of schooling or training. As an exception, for courses that exceed 1 calendar year, but are 15 months or less, only one DA Form 1059 will be submitted to cover the entire duration of the course.

j. DA Form 1059–2 is required for students attending the following courses (this list is not all-inclusive):

(1) Officers attending the U.S. Army War College or taking senior Service college courses sponsored by other Services, allied nations, or approved nations prescribed by Department of the Army, G–3/5/7 and/or appropriate Army service component command. Students who are awarded the Master of Strategic Studies degree or Master of Military Art and Science will have an entry entered on the DA Form 1059–2 part III, block b (see DA Pam 623–3).

(2) Officers enrolled in the U.S. Army War College Correspondence Studies Course upon graduation.

(3) Officers enrolled in intermediate level education resident and nonresident courses. Students who are awarded the Master of Military Art and Science will have an entry entered on the DA form 1059–2, part III, block b (see DA Pam 623–3).

k. The APFT height and weight, including verification of compliance of AR 600–9 data, will be entered on the DA Form 1059 and DA Form 1059–2 for courses that require an APFT to be taken in accordance with AR 350–1 (DA Pam 623–3 discusses these entries on DA Form 1059).

l. Address and contact information for DA Form 1059 are found in appendix F.

3–51. DA Form 1059–1

A DA Form 1059–1 will be submitted for Regular Army, USAR, and ARNG Soldiers in active duty statuses who participate in a full-time (on duty) degree or degree completion program at an educational, medical, or industrial institution. The time covered in DA Form 1059–1 producing schools will be shown as nonrated time on the OER or NCOER that covers the same period. Additionally, DA Form 1059–1 will be submitted for:

a. Regular Army Soldiers who participate in a part-time (after-duty) degree program if:

(1) Formally approved for participation in a degree completion program (see AR 621–1).

(2) The degree completion program is a Soldier's primary duty.

b. Voluntary participation of rated Regular Army and USAR Soldiers serving in an active status, and ARNG serving in Title 10 USC or Title 32 USC active status, and attending night classes at a civilian institution or university and the Soldier's primary place of duty is performing full-time or part-time military duties with a unit or organization. This information will not be used against the rated Soldier to indicate a down-turn in performance.

c. Courses of instruction that exceed 12 months but no more than 24 months. An "Interim Report" reason for submission DA Form 1059–1 will be prepared annually. The "Interim Report" reason for submission DA Form 1059–1 will comment on the Soldier's progress at the time of preparation. A final "Course Completion" reason for submission DA Form 1059–1 will be prepared and submitted to HRC (AHRC–OML–M) to arrive no later than 90 days after completion or termination of schooling or training. As an exception, for courses that exceed 1 calendar year, but are 15 months or less, only one DA Form 1059–1 will be submitted to cover the entire duration of the course. Master's degree-level programs will receive only one final DA Form 1059–1, unless schooling exceeds 24 months.

d. Courses of instruction lasting 24 or more months. Soldiers attending long-term education programs extending 24 or more months will receive an "Initial Report" reason for submission DA Form 1059–1 at the start of the program. An "Initial Report" reason for submission DA Form 1059–1 will be prepared by AMEDD Student Detachment (for students attending long-term health education training programs) or by the HRC Advanced Education Programs Branch for all programs governed under AR 621–1 and AR 621–7 in coordination with career or program manager, as applicable.

(1) For Soldiers who receive an "Initial Report" reason for submission DA Form 1059–1, the following data will be included:

(a) Part I, blocks a through k, "Administrative Data."

(b) Part I, block l, "Reason for Submission." Select "Initial Report." A projected graduation date will also be entered.

(c) Part I, block m, "Reason for Attendance." Comments are mandatory and will address the specific school, fellow, doctorate, or scholar program selected for attendance. Additional comments will address targeted degree, dissertation, thesis topic, and utilization tour/follow-on assignment, as applicable.

(d) Part II, blocks b and c, "Demonstrated Abilities." Rated Soldiers APFT and date information in accordance with AR 350–1 and height and weight information with "Yes" or "No" for within standards in accordance with AR 600–9.

(e) Part IV, blocks a1 through b7, "Authentication." The signing authority will be Commander, AMEDD Student Detachment or HRC, Chief, Advanced Education Program Branch, or their authorized delegated representative (as applicable). The signing authority will authenticate as both academic advisor and administrative reviewer.

(2) Both the "From" and "Thru" date entries of Duration of Course for an "Initial Report" reason for submission DA Form 1059–1 will be the start date of the program (for example, the program start date is 20180401 and graduates 20210227. The Duration of Course entry will be From 20180401 Thru 20180401).

(3) Soldiers will receive an "Interim Report" reason for submission DA Form 1059–1 every 12 months thereafter, until the completion of the program and/or course. (See DA Pam 623–3).

Note. Address and contact information for civilian institution DA Form 1059-1s are found in paragraph 3–16 and appendix F.

3–52. Judge Advocate General's Corps on-the-job training report

a. An OER will be required when an officer participating in TJAG's FLEP completes OJT of 31 or more calendar days. The reason for submission, code 17, "JAGC–OJT," will be used.

b. Commanders, in coordination with JAGC officials at the OJT sites, will establish rating chains that ensure rating officials are present and available during OJT, to ensure at least one OER per year. OERs for officers who perform OJT of 30 or fewer days may be submitted at the option of the rating officials. Rating chain time minimums do not apply (see app D).

c. Academic reports on DA Form 1059–1 are not normally required for those FLEP officers attending a civilian academic institution if not performing OJT. The period covered by the DA Form 1059–1 will be reflected as nonrated time on the initial tour of extended active duty OER following completion of schooling.

d. The provisions of this paragraph do not apply to warrant officer OERs or NCOERs.

3–53. Initial tour of extended active duty report

A code 14, Initial OER, will be prepared for JAGC commissioned officers under specified circumstances following their completion of BOLC.

a. Specified circumstances requiring a code 14, Initial OER, include officers who are—

(1) Serving an initial tour of active duty in the Army (other than ADT or USAR or ARNG officers serving on statutory tours under 10 USC 175, 10 USC 3021, 10 USC 10211, 10 USC 12301, and 10 USC 12402).

(2) Re-entering active duty after a break in service of at least 1 year.

(3) Completing law school under TJAG's FLEP (see AR 27–1 and app D).

b. A code 14, Initial OER, will not be prepared for—

(1) Any officer not included in paragraph 3–53*a*.

(2) Any officer included in paragraph 3–53*a* who has already received an OER under some other provision of this regulation during their current tour of duty. Other OERs due prior to completion of 120-day initial OERs take precedence over the initial tour OER. In those cases, the 120-day initial OER will not be completed.

c. The "From" date of the period covered by an initial OER will begin with the rated officer's date of entry on current active duty or the "Thru" date of any previously received OER. The rating period will begin when the rated officer arrives at their unit of assignment following BOLC. The rating period will end upon the completion of 120 calendar days (excluding nonrated days) in the same principal duty assignment under the same rater ("Thru" date on OER). Other rating official qualification and minimum time requirements apply for the 120-day initial time under the rater.

d. The periods covered by DA Form 1059–1 for law school attendance and periods following successful graduation from law school before successfully completing a state bar examination and DA Form 1059 for attendance at BOLC, and time before the rated officer's assignment to a unit, organization, or agency will be reflected as nonrated time on the initial OER (see paras 1–8, 3–34, 3 –40, 3–50, and 3–51).

3–54. U.S. Army Human Resources Command directed evaluation report

a. When the CG, HRC concludes there is a need for an evaluation report (para 1–4*a*(3) and other provisions of this chapter do not apply), an "AHRC Directed" evaluation report will be submitted on the rated Soldier. The reason for submission, code 19, "AHRC Directed," will be used.

b. In extremely rare instances, commanders may request that an evaluation report to be directed under provisions of this paragraph. Requests will be sent to HRC (AHRC–PDV–E) (see app F).

c. An "AHRC Directed" evaluation report will also be used for U.S. Army Medical Department Professional Management Command (APMC) officers as indicated in paragraph G–5*k.*

3–55. "Relief for Cause" report (DA Form 67–10 series)

A code 05, "Relief for Cause" OER, is required when an officer is relieved for cause, regardless of the rating period involved (for example, information pertaining to a previous reporting period that did not come to light until a later rating period). "Relief for Cause" is defined as an early release of an officer from a specific duty or assignment directed by superior authority and based on a decision that the officer has failed in their performance of duty. In this regard, duty performance will consist of the completion of assigned tasks in a competent manner and compliance at all times with the accepted professional officer standards consisting of attributes and competencies as part of the Leadership Requirements Model (see ADP/ADRP 6–22). These standards will apply to conduct both on and off duty. The following are additional considerations for "Relief for Cause" OERs. AR 600–8–2 explains procedural requirements for a nontransferable flag for "Relief for Cause" reports.

a. If, regardless of reason, the relief does not occur on the date the officer is removed from duty position responsibilities (that is, suspended), the period of time between the removal and the relief will be nonrated time included in the period of the "Relief for Cause" OER. The published rating chain at the time of the relief will render the "Relief for Cause" OER at the time of the relief; no other OER will be due on this officer during this nonrated period.

b. Cases where the rated officer has been suspended from duties pending an investigation will be resolved by the chain of command as expeditiously as possible to reduce the amount of potential nonrated time involved. Every effort will be made to retain the established rating chain, with the officer performing alternate duties under that rating chain until the investigation is resolved. If the rated officer is suspended and subsequently relieved, the period between the suspension and the relief is nonrated time. The suspended officer will not render evaluation reports or receive an OER until their status (and, thus, their ability to serve as a rating official) is decided (that is, if relieved the rated officer will not render reports as a rating official). While no OER will be rendered on a suspended officer during the period of suspension, for an officer who is suspended and subsequently returned to duty (not relieved), the period of suspension is recorded as evaluated time on the next OER.

c. If a relief for cause is contemplated on the basis of an informal AR 15–6 investigation, referral procedures contained in that regulation will be followed before the act of initiating or directing the relief. This is irrespective of the fact that the resultant OER will also be referred to the rated officer as described in paragraph 3–29. This does not preclude a temporary suspension from assigned duties pending application of the procedural safeguards contained in AR 15–6. Action to relieve an officer from any command position will not be taken until after obtaining written approval from the first general officer in the chain of command of the officer being relieved, as required by AR 600–20.

d. The "Relief for Cause" OER must specifically indicate who directed the relief of the rated officer. If the official directing relief is in the rating chain, that official will clearly explain the reason for the relief in their portion of the OER. If the relief is directed by someone outside the rating chain, the evaluation report will indicate who directed the relief in either the rater or senior rater narrative portion. See DA Pam 623–3 for instructions and procedural guidance that apply to completing a "Relief for Cause" report.

e. If the relief is directed by someone other than the rating officials, the official directing the relief will describe the reasons for the relief in an enclosure to the OER (see fig 3–2). See paras 2–15 through 2–18 for supplementary review requirements.

f. If, after a "Relief for Cause" report has been submitted to HQDA, rating officials become aware of additional significant information, the provisions of paragraphs 3–37, 3–38, and 3–39 will apply.

g. A rating official may relieve an officer because of information received about a previous reporting period. For example, a rating official who receives information from a completed investigation regarding a past incident plans to relieve the officer from their present position or process them for elimination. When this occurs, the following provisions apply:

(1) A "Relief for Cause" report will be prepared.

(2) The rated officer will be evaluated only on performance during the current rating period, with the exception of the statement clarifying the relief.

(3) Rating restrictions described in DA Pam 623–3 do not apply.

(4) The reason for the relief will be cited in the report.

(5) If necessary, the new information will be forwarded to the previous rating chain when submitting an addendum, as described in paragraphs 3–37, 3–38, and 3–39.

h. The minimum time requirements for rating officials do not apply. All rating officials will evaluate the rated Soldier; however, any rating official who has not directed the relief, and does not agree with the relief, may state nonconcurrence in the proper narrative portion of the "Relief for Cause" OER.

3–56. "Relief for Cause" evaluation report (DA Form 2166–9 series)

An NCO can be relieved for cause regardless of the rating period involved; however, a waiver is required to render "Relief for Cause" NCOERs covering a period of less than 30 days. "Relief for cause" is defined as the removal of an NCO from a specific duty or assignment based on a decision by a member of the NCO's chain of command or supervisory chain. A relief for cause occurs when the NCO's personal or professional characteristics, conduct, behavior, or performance of duty warrants removal in the best interest of the U.S. Army. Additional considerations for the "Relief for Cause" NCOER are described in this paragraph. AR 600–8–2 explains procedural requirements for a nontransferable flag for "Relief for Cause" report. A code 05, "Relief for Cause" NCOER, is required when an NCO is relieved for cause.

a. If the relief does not occur on the date the NCO is removed from the duty position or responsibilities, the suspended period of time between the removal and the relief will be nonrated time included in the period of the "Relief for Cause" NCOER. The suspended NCO will not render NCOERs and AERs or receive NCOERs until their status (and, thus, their ability to serve as a rating official) is decided. The published rating chain at the time of the relief will render the "Relief for Cause" NCOER; no other NCOER will be due on the rated NCO during this nonrated period.

b. Cases where the rated NCO has been suspended from duties pending an investigation will be resolved by the chain of command as expeditiously as possible to reduce the amount of nonrated time involved. Every effort will be made to retain the established rating chain, with the NCO performing alternate duties under that rating chain until the investigation is resolved. If the rated NCO is suspended and subsequently relieved, the period of suspension is nonrated time. If the rated NCO is suspended and subsequently placed back to duty (not relieved), the period of suspension is recorded as evaluated time on the next NCOER.

c. If a "Relief for Cause" report is contemplated on the basis of an informal AR 15–6 investigation, the referral procedures contained in that regulation will be followed before the act of initiating or directing the relief. This does not preclude a temporary suspension from assigned duties pending application of the procedural safeguards contained in AR 15–6. A "Relief for Cause" report will be the final action after all investigations have been completed and a determination made.

d. The "Relief for Cause" NCOER must specifically indicate who directed the relief of the rated NCO. If the official directing relief is in the rating chain, that official will clearly explain the reason for the relief in their portion of the NCOER. If the relief is directed by someone outside the rating chain, the evaluation report will indicate who directed the relief in either the rater or senior rater narrative portion. See DA Pam 623–3 for instructions and procedural guidance that apply to completing a "Relief for Cause" report.

e. If the relief is directed by an official other than the rater or senior rater, the official directing the relief will describe the reasons for the relief in an enclosure to the NCOER (see fig 3–2). See paras 2–15 to 2–18 for supplementary review requirements.

f. The minimum rater and senior rater qualifications and the minimum rating period are 30 rated days. The fundamental purpose of this restriction is to allow the rated NCO a sufficient period of time to react to performance counseling during each rating period. Authority to waive this 30-day minimum rating period and rater and senior rater qualification period in cases of misconduct is granted to the first general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO. The waiver approval will be in memorandum format and attached as an enclosure to the NCOER (see para 3–36 and fig 3–3).

g. For USAR and ARNG NCOs, authority to waive the 60-day minimum rating period and rater and senior rater qualification periods in cases of misconduct is granted to a general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO.

Section X

Optional Evaluation Report

3–57. "Complete the Record" report

"Complete the Record" reports are optional. Therefore, the absence of such an evaluation from the AMHRR at the time of a selection board's review will not be a basis to request standby reconsideration unless the absence is due to administrative error or a delay in processing at HQDA. This paragraph is also applicable to the USAR and ARNG CSM Programs and USAR and ARNG promotion boards centralized at a major USARC headquarters, the state, and NGB.

a. DA Form 67–10 series. A code 09, "Complete the Record" OER, may be submitted on a rated officer who is about to be considered by an HQDA-level selection board (for promotion, project manager, school, or command) provided the following conditions are met:

(1) The rated officer will be in or above the zone of consideration for a centralized promotion selection board or in the zone of consideration for a school or command selection board. Officers being considered in the below the zone category are not eligible for a "Complete the Record" OER.

(2) The rated officer will have served for a minimum of 90 calendar days (120 calendar days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers), excluding nonrated periods, in the same position under the same rater as of the "Complete the Record" report "Thru" date stated in the HQDA MILPER message announcing the zones of consideration. The MILPER message announcement provides additional eligibility criteria for "Complete the Record" OERs. All error-free OERs received by the required receipt date stated in the MILPER message will be completed in time for viewing by the selection board.

(3) All other rating chain time minimums apply.

(4) An officer who was previously considered, but not selected for promotion, by an HQDA promotion selection board may prepare a code 09, "Complete the Record" OER, provided that the officer does not qualify for a code 11, Promotion OER, as required by paragraph 3–47.

b. DA Form 2166–9 series. A code 09, "Complete the Record" NCOER, may be submitted on a rated NCO who is about to be considered by an HQDA-level selection board (for promotion, school, or CSM selection) provided the following conditions are met:

(1) The rated NCO will be in the zone of consideration (primary or secondary) for a centralized promotion board or in the zone of consideration for a school or CSM selection board.

(2) The rated NCO will have served for a minimum of 90 calendar days (120 calendar days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers), excluding nonrated periods, in the same position under the same rater as of the "Complete the Record" report "Thru" date stated in the HQDA MILPER message announcing the zones of consideration. All error-free NCOERs received by the required receipt date stated in the MILPER message will be completed in time for viewing by the selection board.

(3) All other rating chain time minimums apply.

3–58. "Senior Rater Option" report

a. A code 08, "SR-Option" report, may be rendered when a change in senior rater occurs. The senior rater may direct that an "SR-Option" report be made on any Soldier whom they senior rate when a change in senior rater occurs. This will apply only if the following conditions are met:

(1) The senior rater has served in that position for at least 60 calendar days. In cases where a general officer is serving as both rater and senior rater, the minimum rater requirement will also be 60 days versus the normal 90-day requirement. The minimum rating requirement for evaluating USAR TPU, DIMA, or drilling IRR Soldiers or ARNG M–DAY Soldiers is 90 days (apps G and H).

(2) The rater meets the minimum 90-day requirement (120-day requirement for drilling USAR TPU, DIMA, or drilling IRR Soldiers or ARNG M–DAY Soldiers).

(3) The Soldier has not received an OER or NCOER in the preceding 90 calendar days (120 calendar days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). As an exception, if a general officer is serving as both rater and senior rater, the Soldier must not have received an OER or NCOER in the preceding 60 days (90 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG M–DAY Soldiers).

b. As an exception, a mandatory "SR-Option" report will be prepared when an OER or NCOER is due within 60 calendar days (90 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG M–DAY Soldiers) after the date the change in senior rater will occur. The senior rater will submit an "SR-Option" report in such cases to prevent an OER or NCOER being submitted without a senior rater evaluation.

3–59. 60-Day Option report

A code 07, 60 day Opt report, may be rendered when one of the conditions described in paragraphs 3–41 through 3–44 occurs, and the rater has served in their capacity fewer than 90 days, but more than 59 days (excluding nonrated periods) in the rating period. A 60 day Opt report may be initiated at the option of the rater when the following conditions have been met:

a. The rated Soldier will be serving in an overseas designated short tour for a period of 14 months or less (see JTR, Appendix Q, Table 1, for all others tour identification by area) or as designated in the Personnel Policy Guidance.

b. The senior rater will meet the minimum time in position requirements to evaluate (60 days) and will approve or disapprove submission of the 60 day Opt report. When the senior rater disapproves the submission of the 60 day Opt report, the basis for the disapproval will be stated and the 60 day Opt report and returned through the rating chain to the rater. The rater will inform the rated Soldier that the 60 day Opt report has been disapproved and destroy the report.

3–60. Rater Option report (DA Form 67–10 series only)

A code 13, Rater Option OER, may be rendered when one of the conditions described in paragraphs 3–41 through 3–44 occurs but there are fewer than 90 calendar days in the rating period (120 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers not on an active duty tour for 90 days or more), excluding nonrated periods. An OER may be submitted at the option of the rater; however, the rated officer will have served continuously under the same rater in the same position for 90 or more calendar days in the previous rating period. All other rating chain minimums apply. For example, an officer receives an annual OER on 31 March and departs on a PCS on 22 May. The rating period is 51 days (1 April to 21 May). If those 51 days were spent in the same duty position under the same rater as shown on the previous annual OER ending 31 March, the rater may, at their option, render a Rater Option OER for the period 1 April to 21 May. The senior rater (and intermediate rater, if applicable) will sign the Rater Option OER but may not provide comments because minimum rating qualifications have not been met.

Chapter 4
Evaluation Report Redress Program

Section I

Managing the Redress Program

4–1. Overview

a. The Evaluation Report Redress Program consists of several elements at various levels of command (for example, field; HRC; DCS, G–1; and HQDA). The program is both preventive and corrective in that it is based upon principles structured to prevent, and provide a remedy for, alleged injustices or regulatory violations, as well as to correct them once they have occurred.

b. The first program element is the communication process fostered by the DA Form 67–10–1A and DA Form 2166–9–1A, which affords the rated officer or NCO a forum for establishing duty requirements and a discussion of actual accomplishments (see chap 3, sec II, and DA Pam 623–3). A second element is the various regulatory requirements, such as each evaluation report standing on its own without reference to facts or events occurring prior or subsequent to the rating period (see para 3–17) and the prohibition against command influence on rating officials during the preparation of evaluation reports (see para 1–11 and DA Pam 623–3).

c. If an OER or AER is referred, there is the evaluation referral and acknowledgment process (see para 3–29 and DA Pam 623–3).

d. Beyond regulatory remedies, elements of the Evaluation Report Redress Program, Commander's or Commandant's Inquiry, the Appeals System, and application to the Army Board for Correction of Military Records (ABCMR) under the provisions of AR 15–185 are available (see secs II and II of this chap).

e. This chapter focuses on the policies, procedures, preparation, and submission of a Commander's or Commandant's Inquiry and an evaluation report appeal.

4–2. Information

a. An OER, NCOER, DA Form 1059, or DA Form 1059–2 may have administrative errors or may not accurately record the rated Soldier's potential or the manner in which they performed their duties. The Evaluation Report Redress Program protects the Army's interests and ensures fairness to the evaluated officer or NCO. At the same time, it avoids impugning the integrity or judgment of the rating officials without sufficient cause. A Commander's or Commandant's Inquiry and an evaluation report appeal are separate and distinct actions. Rated Soldiers may seek an initial means of

redress through a Commander's or Commandant's Inquiry. A Commander's or Commandant's Inquiry is not a prerequisite for the submission of an appeal but may provide information to assist in a decision due to appeal.

b. DA Pam 623–3 amplifies and clarifies the policies outlined in this chapter by providing detailed guidance on the preparation of an appeal. Rated Soldiers are strongly encouraged to read the appeals section of DA Pam 623–3 in its entirety prior to preparing and submitting an appeal. A thorough understanding of the appeals system can save considerable time and effort and reduce the chance of having an appeal returned without consideration.

Section II

Commander's or Commandant's Inquiry

4–3. Applicability

a. Commanders (for OERs and NCOERs) or commandants (for DA Form 1059 or DA Form 1059–2) are required to look into alleged errors, injustices, and illegalities in evaluation reports. This section does not pertain to DA Form 1059–1 evaluation reports provided by civilian educational, medical, or industrial institutions because there is no military command structure available. An exception exists for administrative appeal requests for DA Form1059-1 (see para 4–7).

b. Upon receipt of a request for a Commander's or Commandant's Inquiry, the commander or commandant receiving the request will verify the status of the OER, NCOER, DA Form 1059, or DA Form 1059–2 in question. If the evaluation has been submitted and received at HQDA for processing, but has not been filed in the Soldier's AMHRR, the commander or commandant will notify the Evaluations Appeals Office via email with a request to have the evaluation placed in an administrative temporary hold status until completion of the inquiry (see app F).

4–4. Purpose

Alleged errors, injustices, and illegalities in a rated Soldier's evaluation report may be brought to the commander's or commandant's attention by the rated Soldier or anyone authorized access to the report (see para 1–11).

a. The primary purpose of a Commander's or Commandant's Inquiry is to provide a greater degree of command involvement in preventing obvious injustices to the rated Soldier and correcting errors before they become a matter of permanent record.

b. A secondary purpose is to obtain command involvement in clarifying errors or injustices after the evaluation is accepted at HQDA. However, in these after-the-fact cases, this paragraph is not intended to be a substitute for the appeals process, which is the primary means of addressing errors and injustices after they have become a matter of permanent record (see para 3–37 for restrictions on modifications to previously submitted evaluations already accepted by HQDA).

c. The provisions of AR 15–6 do not normally apply to inquiries of this type. However, the commander or commandant may determine that the provisions of AR 15–6 apply in specific instances.

4–5. Procedure

a. A Commander's or Commandant's Inquiry will not be used to document differences of opinion among members of the rating chain about a rated Soldier's performance and potential. The evaluation system establishes rating chains and normally relies on the opinions of the rating officials. Rating officials will evaluate a rated Soldier and their opinions constitute the organization's view of that Soldier. However, the commander may determine through inquiry that the report has serious irregularities or errors. Examples include:

(1) Improperly designated, unqualified, or disqualified rating officials; that is, a rating official not in the published rating chain, a rating official without the minimum required time to render an evaluation report, or a rating official who, through an official investigation, has had a substantiated adverse finding against them that results in their relief or calls into question the rating official's objectivity.

(2) Inaccurate or untrue statements.

(3) Lack of objectivity or fairness by rating officials.

b. The inquiry will be made by a commander in the chain of command or military school commandant above the designated rating officials involved in the allegations. In headquarters and other military organizations lacking a commander or commandant, the inquiry will be conducted by the next higher official in the rating chain above the designated rating officials involved in the allegations.

c. To ensure the availability of pertinent data and timely completion of an inquiry conducted after the evaluation in question has been accepted at HQDA for inclusion in the rated Soldier's AMHRR, the inquiry will be conducted by either the commander or commandant at the time the evaluation was rendered who is still in the command position,

or by a subsequent commander or commandant in the position. Requests for inquiry will occur no later than 60 days after the signature date of the rated Soldier (or senior rater, if rated Soldier's signature is omitted) for OERs and NCOERs, or reviewing official for DA Form 1059 and DA Form 1059–2. The results of the inquiry will be forwarded to HQDA not later than 120 days after the signature date of the senior rater (OER and NCOER) or reviewing official (DA Form 1059 and DA Form 1059–2).

d. The official conducting the inquiry will not pressure or force rating officials to change their evaluations.

e. The official conducting the inquiry may not evaluate the rated Soldier, either as a substitute for, or in addition to, the designated rating officials' evaluations.

f. The rating chain or official conducting the inquiry will not use the Commander's or Commandant's Inquiry provisions to forward information derogatory to the rated Soldier. For OERs, NCOERs, DA Form 1059, and DA Form 1059–2 only, if the inquiry reveals matters that might have resulted in a lower evaluation of a rated Soldier, the information will be addressed in the memorandum outlining the results of the inquiry by the commander or commandant responsible for the inquiry in accordance with paragraph 3–39. No changes will be made to an evaluation report to reflect a lower evaluation of a rated Soldier following the results of a Commander's or Commandant's Inquiry.

g. If, upon completion of the inquiry, the official conducting the inquiry determines the report has serious irregularities or errors or any violation of policy, the official will ensure that all members of the original rating chain are allowed to correct or edit the evaluation as necessary. This will occur with regards to paragraphs 1–10*a*, 1–11, and 4–5*d*. The commander's or commandant's memorandum to HRC will state that all members of the rating chain have been allowed to add or change comments in accordance with the findings and recommendations, and it will list those who did not choose to edit the evaluation.

h. If the evaluation was previously referred, and after editing the evaluation, it is still referred, the rating chain will refer the final evaluation to the rated Soldier for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA.

i. The results of the inquiry forwarded to HQDA will include the specific findings, conclusions, and recommendations in a memorandum that will be filed with the evaluation report in the rated Soldier's AMHRR for clarification purposes (see fig 4–1). The results will include the commander's or commandant's signature, will stand alone without reference to other documentation, and will be limited to one page. Sufficient evidence and documentation, such as completed AR 15–6 investigations, reports, and statements, will be attached to justify the conclusions.

j. If the commander finds no fault with the evaluation, then the Commander's or Commandant's Inquiry is filed locally and a copy given to the rated Soldier. There is no requirement to send the Commander's or Commandant's Inquiry forward to HQDA.

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR U.S. Army Human Resources Command (AHRC-PDV-E),
1600 Spearhead Division Avenue, Dept. #470, Fort Knox, KY 40122-5407

SUBJECT: Commander's/Commandant's Inquiry Report on an *(Officer Evaluation Report Noncommissioned Officer Evaluation Report or Academic Evaluation Report, as applicable)* for *(Rated Soldier's Name, Rank, DODID#, Report Period Covered)*

1. In accordance with AR 623-3, Evaluation Reporting System, paragraph 4-5i, a Commander's/Commandant's inquiry was conducted to look into alleged errors, injustices, or legalities pertaining to the subject *(officer evaluation report (OER), noncommissioned officer evaluation report (NCOER), or academic evaluation report (AER*)). My inquiry focused on *(identify what portion(s) of the OER/NCOER/AER were specifically addressed and/or allegations made in the request for an inquiry).*

2. As a result of my inquiry, I have concluded/determined that *(state if the findings from the inquiry revealed that the evaluation report is accurate as written, indicates bias/lacks objectivity and fairness, consistent with/inconsistent with the requirements of AR 623-3, requires administrative correction, etc. If necessary, include brief comments on background details, such as pertinent events that occurred during the preparation of the OER/NCOER/AER).*

3. I recommend that this OER/NCOER/AER *(state whether the OER/NCOER/AER should be processed as written and filed in the rated Soldier's Army Military Human Resource Record (AMHRR), administratively corrected, be appealed by the rated Soldier, etc.).* The rated Soldier has been informed of my findings and recommendations and his/her right to file an appeal to the OER/NCOER/AER.

4. The point of contact for this memorandum is (POC's name, phone number, email address).

(Signature block of the commander or commandant)

Note: The Commander's/Commandant's Inquiry report will be limited to a one-page memorandum that can be filed with the DA Form 67-10 series OER/DA Form 1059. The memorandum must stand alone without reference to other documentation.

Figure 4–1. Sample format for a Commander's or Commandant's Inquiry report

4–6. Tasks

Operating tasks for conducting a Commander's or Commandant's Inquiry are outlined in table 4–1.

Table 4–1
Steps in conducting a Commander's or Commandant's Inquiry

Step	Work center	Action required
1	Requester	Submit a written request for a Commander's or Commandant's Inquiry indicating specifically the injustices and/or regulatory violations contained in the OER, NCOER, DA Form 1059, or DA Form 1059–2 in question. Submit request to a commander above the designated rating chain. Request must be filed no later than 60 days after the rated Soldier's signature date (or senior rater's signature date, if the rated Soldier's signature is omitted).
2	Commander or commandant	Upon receipt of a request for a Commander's or Commandant's Inquiry, the commander or commandant receiving the request will acknowledge receipt and notify the Soldier. The commander or commandant must verify the status of the OER, NCOER, or AER in question; that is, if the evaluation in question has been submitted and received at HQDA for processing. If the evaluation has been submitted and received at HQDA for processing and not yet filed in the Soldier's AMHRR, the commander or commandant will notify the Evaluations Appeals Office via email with a request to have the evaluation placed in a temporary administrative hold status until completion of the inquiry (see app F).
3	Commander or commandant	If, after looking into the allegations, no error, violation of the regulation, or wrongdoing is found, advise the individual requesting the inquiry. Take no further action other than ensuring that the evaluation is forwarded to HQDA as expeditiously as possible. If the commander desires, they may retain a written record of the inquiry (for example, a memorandum for record). It is not necessary for the commander to notify HQDA if there are no discrepancies found in the evaluation report.
4	Commander or commandant	If an error, violation of the regulation, or wrongdoing has occurred and the evaluation has not been forwarded to HQDA, the commander or commandant will return the evaluation with the inquiry results to the senior rater or reviewer, as applicable. The commander or commandant will ask that the report be corrected to account for matters revealed in the inquiry. This will be done with regard for the restrictions on command authority and influence (see paras 1–11 and 4-5*c)*. When the report has been corrected, it will be sent to HQDA with no reference to the action taken by the commander or commandant (for example, the OER, NCOER, DA Form 1059, or DA Form 1059–2 only is forwarded); the results of the inquiry will remain with the commander.
5	Commander or commandant	If the report has not yet been forwarded to HQDA and the commander or commandant and the rating chain members cannot agree on the need for change in the report, the commander or commandant will forward the evaluation report and the results of the inquiry to the appropriate agency (see app F). The results of the inquiry remain with the evaluation when processed to the Soldier's record.

Section III

Evaluation Appeals

4–7. Policies

a. An evaluation report submitted and accepted for inclusion in the rated Soldier's AMHRR is presumed to—

(1) Be administratively correct.

(2) Have been prepared by the proper rating officials.

(3) Represent the considered opinion and objective judgment of the rating officials at the time of preparation.

b. Appeals based solely on statements from rating officials claiming administrative oversight or typographical error of an OER, NCOER, DA Form 1059, or DA Form 1059–2 will be returned without action unless accompanied by additional substantiating evidence.

c. The rated Soldier or other interested parties who know the circumstances of a rating may appeal any evaluation report they believe is incorrect, inaccurate, or in violation of the intent of this regulation.

(1) Other interested parties are limited to representatives of the following:

(a) DCS, G–1.

(b) HRC.

(c) Office of the Surgeon General (OTSG).

(d) TJAG.

(e) Office of the Chief of Chaplains.

(f) NGB.

(2) Other individuals knowing of an alleged rating injustice will contact one of the above agencies or the rated Soldier.

d. An appeal begun by any party on behalf of an appellant will be referred to the appellant for concurrence and comment before it is submitted.

e. The results of a Commander's or Commandant's Inquiry under paragraph 1–11 do not constitute an appeal. They may be used, however, in support of an appeal.

f. An appeal will be supported by substantiated evidence (see para 4–11). An appeal that alleges an evaluation report is incorrect, inaccurate, or unjust without usable supporting evidence will not be considered. The determination regarding adequacy of evidence will be made by HRC, Evaluation Appeals Branch (AHRC–PDV–EA).

g. Appeals based on administrative error only will be adjudicated by HRC, Evaluation Appeals Branch (AHRC–PDV–EA) for Regular Army, USAR, and for ARNG evaluation reports.

(1) Claims of administrative error pertain to:

(a) DA Form 67–10 series (OER), part I; part II; part III, block a; part III, block b; and part IV, block a.

(b) DA Form 2166–9 series (NCOER), part I; part II and part III, block a; part III, block b; and part IV, blocks a and b.

(c) DA Form 1059, part I; part II, blocks b, c, e1, and e2; and part IV.

(d) DA Form 1059–2, part I; part II, blocks b, c, e1, and e2; and part IV.

(e) DA Form 1059–1, part I; part II, blocks b and c; and part IV.

(2) Such claims may include, but are not limited to, deviation from the established rating chain, insufficient period of observation by the rating officials, significant errors in the evaluation report period, and errors in the APFT and/or height and weight entries.

(3) Requests for administrative corrections to the "P" identifier utilized in part I, block c, Rank, after 120 days of an OER or NCOER being filed in a Soldier's AMHRR will not be supported. Requests for administrative corrections to alter the "P" identifier in part I, block c, Rank, will only reflect changes to the Rater Tendency report, and Rater and/or Senior Rater Profile within 120 days of an OER or NCOER being filed to the AMHRR. Requests that are received 120 days or later for OERs or NCOERs filed in the rated Soldier's AMHRR will result in corrections made only to the administrative data contained within part I, block c, of the OER or NCOER; however, no change will occur to the Rater Tendency report, Rater, and/or Senior Rater's Profile.

(4) Periods of time when an evaluation was required but failed to be rendered (for example, missing evaluation reports) require special consideration. A period of time for which an evaluation report should have been prepared by rating officials, but was not, will be left as a gap between completed evaluation reports in a Soldier's record. The Soldier should make every effort to obtain the missing required evaluation report from the rating officials through appropriate command level involvement. If the Soldier is unable to obtain a missing evaluation report, the Soldier may submit a request for an HRC issued missing evaluation statement (see para 3–34). Requests for issuance of a missing evaluation statement will only occur when two or more years elapse beyond the required "Thru" date for the missing mandatory report. Until that time, a gap will remain in the Soldier's evaluation history to allow adequate time to ensure all processes (and effort) have been exhausted to generate the required evaluation report. Requests submitted will be adjudicated on a case-by-case basis. An exception to the two year time requirement exists for situations when all designated rating officials were relieved (see para 2–19).

(5) A period of undocumented nonrated time (for example, school, leave in excess of 30 days, hospitalization, and so on) resulting in a gap between completed evaluation reports in a Soldier's AMHRR may be administratively corrected upon request from the rated Soldier, rating chain member, or BN S1 with supporting documentation, unless the period reflects a chain of command's failure to render a mandatory evaluation report that was due (see paras 3–41 through 3–56). In some cases, administratively correcting a "From" date on an evaluation report may cause it to be not in accordance with the rules of AR 623–3. When this occurs, the Evaluation Appeals Office will mark "Corrected Copy per HQDA Appeals Office" so the altered "From" date will be understood by future selection boards and career managers. Requests for nonrated time administrative correction for evaluation reports completed at HQDA will be mailed to HRC (AHRC–PDV–EA) along with supporting documentation (DA Form 31 (Request and Authority for Leave) and DA Form 1059). Mailing and email addresses are listed in appendix F.

(6) For evaluation reports on IMA and IRR Soldiers not performing duty, gaps in the evaluation history will occur and are acceptable.

Note. ARNG-specific nonrated time and missing evaluation reports are addressed in appendix H.

(7) Requests for minor administrative corrections will not be supported when all relevant information pertaining to the error should have been known by the rated Soldier and/or the rating officials at the time the evaluation was submitted. Rating officials should consider all available sources of information (for example, DA Form 4037 (Officer Record Brief) or enlisted record brief, orders, or duty appointment documents) when completing an evaluation on their rated Soldier. HQDA will not conduct minor spelling, grammatical, and/or punctuation corrections that would have been easily revealed through review of the evaluation. Rating officials must make a concerted effort to ensure every evaluation is reviewed for these types of minor administrative errors prior to submission to HQDA for examination and inclusion into the rated Soldier's AMHRR. An administrative error so significant as to affect not only personnel management decisions, but selection board proceedings and career decisions is considered an administrative appeal. Decisions will be made based on the regulation in effect at the time evaluation reports were rendered. The likelihood of successfully appealing an evaluation report diminishes, as a rule, with the passage of time. Prompt submission is recommended.

(8) It should be noted that the rated Soldier's authentication in part II of an OER or NCOER verifies the information in part I is accurate. It also confirms that the rating officials named in part II are those established as the rating chain and authenticates the accuracy of the APFT and height and weight entries made by the rater. Appeals based on alleged administrative errors in those portions of an evaluation report previously authenticated by the rated Soldier (parts I, II, III, and IV, block a) will be accepted only under the most unusual and compelling circumstances. The rated Soldier's signature also verifies that the rated Soldier has seen a completed evaluation report.

(9) Correction of minor administrative errors seldom serves as a basis for appeal. However, HQDA will correct errors of a significant nature upon receipt of memorandum from the rater and senior rater. The memorandum will include the HQDA evaluation number for the evaluation in question, the specific area that requires correction, how the evaluation currently reads and what it should be corrected to read, and a certified true copy (signed by unit commander) of the evidence that supports or justifies the correction.

(10) Removal of an evaluation report for administrative reasons will be allowed only when circumstances preclude the correction of errors, and then only when retention of the evaluation report would clearly result in an injustice to the Soldier (see fig 4–2 and DA Pam 623–3 for sample formats).

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNIT NAME
STREET ADDRESS
CITY, STATE 12345-0001

(Office Symbol) (*Date)*

MEMORANDUM FOR *(Appropriate Agency – Appendix F)*

SUBJECT: Minor Correction to Evaluation Report for *(Rated Soldier's Name, Rank, Social Security Number, Report Period Covered)*

1. This is a request for a minor correction to the subject evaluation report.

2. *(Identify the specific portion of the requested change; state the entry as it now appears and as it should appear after correction.)*

3. *(Support the request with related documents, for example, orders, leave and earnings statements, or other documents.)*

4. *(Unit requests must be limited to very minor corrections to recently-submitted reports. Any significant changes must be requested by the rated Soldier.)*

5. *(Provide a POC and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)*

Encls
1. Copy of evaluation report
2. *(Number and list enclosures of appropriate evidence)*

(Signature block with mailing address, if other than address on letterhead)

Figure 4–2. Sample format for a significant administrative correction to evaluation report memorandum

h. Alleged bias, prejudice, inaccurate or unjust ratings, or any matter other than administrative error are substantive in nature and will be adjudicated by the Army Special Review Board (ASRB) (see para 4–13).

(1) Claims of inaccuracy of a substantive type pertain to:

(a) DA Form 67–10 series (OER), part III, block c; part IV, blocks b, c, d, and e; part V; part VI; and OER addenda.

(b) DA Form 2166–9 series (NCOER), part III, blocks c through blocks d; part IV, blocks c through j; part V; and NCOER addenda.

(c) DA Form 1059, part II, blocks f through m, and part III.

(d) DA Form 1059–2, part II, blocks a and d, blocks f through k, and part III.

(e) DA Form 1059, dated Nov 2015 and earlier, blocks 11 through 14.

(2) These are generally claims of an inaccurate or an unjust evaluation of performance or potential or claims of bias on the part of the rating officials (see DA Pam 623–3 for sample formats).

i. After resolution of the appeal, HQDA amends the rated Soldier's records, if appropriate. If the rated Soldier has been nonselected for promotion, the ASRB will also determine if promotion reconsideration is warranted as a result of the change to the evaluation report.

4–8. Timeliness

a. Because evaluation reports are used for personnel management decisions, it is important to the Army and the rated Soldier that an erroneous evaluation report be corrected as soon as possible. As time passes, people forget and documents and key personnel are less available; consequently, preparation of a successful appeal becomes more difficult.

b. Requests for administrative appeal or correction, by either the rated Soldier or the rating chain, will submitted and received not later than 3 years of an evaluation report "Thru" date for an administrative error so significant as to affect not only personnel management decisions, but selection board proceedings and career decisions.

c. Substantive appeals will be submitted and received no later than 3 years of an evaluation report "Thru" date. Failure to submit an appeal within this time will require the appellant to submit their appeal to the ABCMR, in accordance with AR 15–185. Soldiers may apply online to the ABCMR at https://arba.army.pentagon.mil.

d. The ASRB will not accept appeals that are over 3 years old or appeals from Soldiers who are no longer on active duty or part of the USAR or ARNG. Retirees and/or those who were separated from service should make applications to the ABCMR online at https://arba.army.pentagon.mil.

4–9. Processing and resolution

a. Receipt of appeals will be acknowledged directly to the originator or requestor. The time required to process an appeal varies greatly depending on the complexity of the issues involved, the age of the evaluation report being appealed, and so on. Appeals are processed in order of priority and by date of receipt (see para 4–10). The Evaluation Appeals Branch will verify the priority of the case by obtaining the information from either the Soldier, the Soldier's AMHRR or the Soldier's Career/Branch Manager.

b. Reviewing officials will screen appeals to separate claims of administrative error from claims of inaccuracy or injustice of a substantive nature.

c. Claims of substantive inaccuracy or injustice will be reviewed for sufficient supporting documentation and evidence then forwarded directly to the ASRB for adjudication. Appeals should be submitted as soon as possible after the appellant has collected the supporting documentation and/or sufficient evidence and completed a packet in accordance with DA Pam 623–3. In instances when an appeal contains compelling and overwhelming evidence that clearly justifies approval without any doubt, and supports the needs of the Army and/or the Soldier, the Chief, Appeals Branch with approval by the Division Chief who resides over Evaluation Appeals Branch, may adjudicate the appeal request.

d. When the appeal lacks sufficient supporting evidence, reviewing officials will return all original appeal documentation to the appellant without action with a memorandum containing a detailed explanation of why the appeal is returned.

e. An appeal may be approved in whole or in part, or may be denied, depending upon the merits of the case. The result of a partially approved appeal may not be that requested by the appellant. For example, the board may decide the evidence justifies removal of the rater's evaluation, but that the senior rater's evaluation will remain, as it was not proven inaccurate or unjust. The board will not usually take action that might worsen an appealed evaluation report.

f. When the board grants an appeal, in whole or in part, resulting in the removal or substantive alteration of an evaluation report that was seen by one or more promotion boards that previously failed to select the appellant, the ASRB will make a determination whether promotion reconsideration by one or more special boards is justified. The reviewing agency will notify each appellant by memorandum of the appeal decision and promotion reconsideration eligibility, if applicable.

g. When an appeal is denied, a copy of the board's decision memorandum will be filed in the AMHRR with the contested evaluation report. The board proceedings and the appeal correspondence that resulted in a denied or a partially approved appeal will be placed in the restricted folder of the Soldier's AMHRR. When the board determines an evaluation report is invalid, a memorandum will be placed in the performance portion of the AMHRR declaring the period as nonrated time. In the case where a portion of an evaluation report is removed or corrected, the evaluation report will be corrected and placed in the performance portion of the AMHRR. A notation is placed at the bottom of the report to indicate the evaluation report is a "Corrected Copy."

h. If the appeal is denied, an appellant may seek new or additional evidence and submit a new appeal, or may submit an application to the next agency in the Army's Redress System, the ABCMR. The ABCMR is governed by AR 15–185.

4–10. Priorities

Appeals are processed in the order of priority established by the HRC Evaluation Appeals Branch. The Evaluation Appeals Branch will assign the level of priority for all evaluation appeals and notify appellants of the priority level upon preparation and forwarding appeals to the ASRB Agency. Appellants are responsible for notifying the Evaluation Appeals Branch of any change in their status that would affect the priority. The Evaluation Appeals Branch will coordinate with the ASRB to establish priorities and update appropriately when priority levels require change based on Department of the Army mission requirements. Paragraphs 4–10*a* and 4–10*b* represent example priorities for use as a guide on how levels of priority are determined.

a. Officers appealing DA Form 67–10 series or DA Form 1059 series.

(1) First in priority are appeals pertaining to officers who—

(a) Have been twice nonselected for promotion and given a directed discharge, release, or mandatory retirement date within 6 months.

(b) Have been selected for release within 6 months by an HQDA elimination board or an AGR continuation board.

(c) Have been recommended for elimination within 6 months. This also applies to officers who have applied for and have been denied voluntary indefinite category.

(d) Have been notified for eligibility of an HQDA selection command board within 6 months.

(e) Appeal related to sexual assault or sexual harassment violations.

(2) Second in priority are appeals pertaining to officers who—

(a) Have not been selected for promotion at least once but who do not have a mandatory release date within 6 months as a result.

(b) Are on a pending promotion list removal as stated in AR 600–8–29.

(3) Third in priority are appeals not eligible for higher priority.

b. Noncommissioned officers appealing DA Form 2166–9 series or DA Form 1059 series.

(1) First in priority are appeals pertaining to NCOs who have been—

(a) Twice nonselected for promotion in the primary zone of consideration and are within 6 months of discharge, release from service (expiration term of service), or mandatory retirement date.

(b) Selected for release under the HQDA Qualitative Management Program or ARNG or USAR Qualitative Retention Program.

(c) Selected for release from AGR by an AGR continuation board.

(d) Identified for referral within 6 months to an AGR continuation board.

(2) Second in priority are appeals pertaining to NCOs who have been nonselected for promotion in the primary zone of consideration at least once, but who do not have a mandatory release date within 6 months.

(3) Third in priority are appeals not eligible for higher priority.

4–11. Burden of proof and type of evidence

a. The burden of proof rests with the appellant. Accordingly, to justify deletion or amendment of an evaluation report, the appellant will produce evidence that establishes clearly and convincingly that—

(1) The presumption of regularity referred to in paragraphs 3–37*a* and 4–7*a* will not be applied to the evaluation report under consideration.

(2) Action is warranted to correct a material error, inaccuracy, or injustice.

b. Clear and convincing evidence will be of a strong and compelling nature, not merely proof of the possibility of administrative error or factual inaccuracy. If the adjudication authority is convinced that an appellant is correct in some or all of the assertions, the clear and convincing standard has been met with regard to those assertions.

c. For a claim of administrative error, appropriate evidence may include:

(1) The published rating scheme used by the organization during the period of the evaluation report being appealed.

(2) Assignment, travel, or TDY orders.

(3) DA Form 705 (Army Physical Fitness Test Scorecard), DA Form 5500 (Body Fat Content Worksheet (Male)), and DA Form 5501 (Body Fat Content Worksheet (Female)).

(4) Leave records.

(5) Organization manning documents.

(6) Hospital admission, diagnosis, and discharge sheets.

(7) Statements of military personnel officers or other persons with knowledge of the situation pertaining to the evaluation report in question. (See DA Pam 623–3 for samples of formats for a letter requesting a third-party support statement and a prepared third-party support statement.)

(8) The results of a Commander's or Commandant's Inquiry, IG, and/or EO investigation.

(9) Other relevant documents.

(10) Editable documents must be marked certified true copies. This applies to documents submitted as evidence in support of either an administrative or substantive claim.

d. For a claim of inaccuracy or injustice of a substantive type, evidence will include statements from third parties, rating officials, or other documents from official sources (see DA Pam 623–3). Third parties are persons other than the rated officer or rating officials who have knowledge of the appellant's performance during the rating period. Such statements are afforded more weight if they are from persons who served in positions allowing them a good opportunity to observe firsthand the appellant's performance as well as interactions with rating officials. Statements from rating officials are also acceptable if they relate to allegations of factual errors, erroneous perceptions, or claims of bias. To the extent practicable, such statements will include specific details of events or circumstances leading to inaccuracies, misrepresentations, or injustice at the time the evaluation report was rendered. The results of a Commander's or Commandant's Inquiry or AR 15–6 investigation may provide support for an appeal request.

e. To be acceptable, evidence will be material and relevant to the appellant's claim. In this regard, note that support forms or academic counseling forms may be used to facilitate writing an evaluation report. However, these are not controlling documents in terms of what is entered on the evaluation report form. Therefore, no appeal may be filed solely because the information on a support form or associated counseling document was omitted from an evaluation, or because the comments of rating officials on the evaluation report are not identical to those in the applicable support form or counseling document. While there will be consistency between a rating official's comments on both forms, there may be factors other than those listed on a support form or counseling document to be considered when evaluating a rated Soldier. In addition, no appeal may be filed solely based on the contention that the appellant was never counseled. Evaluation reports written based on the findings of an AR 15–6 investigation will include a copy of the AR 15–6 investigation as an enclosure to the appeal. In addition, if there was a Commander's or Commandant's Inquiry conducted, the results of the inquiry and Commander's or Commandant's decision on recommendations will be added as an enclosure to the appeal.

f. For DA Form 67–10 series (OER) and DA Form 2166–9 series (NCOER), appeals that claim an error in the sequencing of OERs into the Rater Profile, of NCOERs into the Rater Tendency, and for OERs and NCOERs, the Senior Rater Profile will not be accepted. The Rater's Profile (OERs only), Rater Tendency (NCOER only), and Senior Rater's Profile reflects the total of all OERs and NCOERs on officers and NCOs in a single grade written by the rater and senior rater received as of the day the OER and NCOER is accepted at HQDA. OERs may be delayed in electronic submission, mail handling, and administrative processing. The official Rater Profile report and Senior Rater Profile report maintained at HQDA on a given day may be different from that in any personal record. Appeals based on differences between privately-kept records and HQDA-maintained Rater Profile, Rater Tendency, and Senior Rater Profile will not be honored. It is incumbent on the rater and senior rater to ensure OERs and NCOERs process at HQDA in the desired sequence. This provision does not apply to DA Form 1059 series (AER).

g. In evaluating the whole Soldier, rating officials may consider the fact that a rated Soldier is in a zone of consideration for promotion, command, or school selection. Accordingly, a subsequent statement from a rating official that they rendered an inaccurate "Highly Qualified," "Retain as Colonel," or lower evaluation of a rated officer's potential in order to preserve a "Most Qualified," "Promote to BG," or "Multi-Star Potential" rating for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for appeal.

4–12. Appeals based on substantive inaccuracy

a. A decision to appeal an evaluation report must not be made lightly. Before deciding whether or not to appeal, the prospective appellant should analyze the case dispassionately. The prospective appellant will note that:

(1) Pleas for relief citing past or subsequent performance or assumed future value to the Army are rarely successful.

(2) Limited support is provided by statements from people who observed the appellant's performance before or after the period in question (unless performing the same duty in the same unit under similar circumstances), letters of commendation or appreciation for specific but unrelated instances of outstanding performance, or citations for awards, inclusive of the same period.

b. Once the decision has been made to appeal an evaluation report, the appellant will state succinctly what is being appealed and the basis for the appeal. For example, the appellant will state—

(1) Whether the entire evaluation report is contested or only a specific part or comment.

(2) The basis for the belief that the rating officials were not objective or had an erroneous perception of their performance. A personality conflict between the appellant and a rating official does not constitute grounds for a favorable appeal; it must be shown conclusively that the conflict resulted in an inaccurate or unjust evaluation.

c. Most appellants will never be completely satisfied with the evidence obtained. A point is reached, however, when the appellant will decide whether to submit with the available evidence or to forgo the appeal entirely. The following factors are to be considered:

(1) The evidence must support the allegation. The appellant needs to remember that the case will be reviewed by impartial board members who will be influenced only by the available evidence. Their decision will be based on their best judgment of the evidence provided.

(2) Correcting minor administrative errors or deleting one official's rating does not invalidate the evaluation report.

4–13. Army Special Review Board and Army Board for Correction of Military Records

a. The ASRB operates within the guidelines established in this regulation. The board, which is comprised of senior officers and NCOs, evaluates and acts on evaluation report appeals. The president and assistant president for each board, under the direct authority and supervision of the Army's Director of Military Personnel Management, are delegated the authority to take action on evaluation report appeals. At least three members of the board constitute a quorum for voting on each case. Board recommendations are based on a majority vote. When practicable, cases will be considered by at least one board member whose background is similar to that of the appellant. No members will vote on a case in which they were personally involved or knowingly have any bias for or against the parties involved. To the extent possible, voting members will be senior to the appellant.

b. Board proceedings are administrative and non-adversary; the provisions of AR 15–6 do not apply. Although not bound by the rules of evidence for trials by court-martial or other court proceedings, the board does keep within the reasonable bounds of evidence that are competent, material, and relevant. Neither the appellant nor their agent is authorized to appear before the board. The board may obtain more information from the appellant, the rating officials, persons in the chain of command, or anyone thought to have firsthand knowledge of the case. The appellant will be contacted by the Evaluation Appeals Branch. Normally, the board will not contact those who provided a third-party statement of support unless there is a need for clarification.

c. After resolution of the appeal, HQDA amends the rated Soldier's records, if appropriate. If the rated Soldier has been nonselected for promotion, the ASRB will also determine if promotion reconsideration is warranted as a result of the change to the evaluation report.

d. A Soldier may always appeal further to the ABCMR. The ABCMR is the highest level of administrative review within the Department of the Army and acts for the Secretary of the Army. The ABCMR will determine a final decision, or, when required, forward the decision to the Secretary of the Army for a final decision (see AR 15–185).

4–14. Preparation

Additional guidance and steps for the preparation of an appeal are provided in DA Pam 623–3.

a. Warrant officers. Warrant officers will not be evaluated on their potential to fill positions of responsibility outside their specialties, except for Department of the Army/Army command levels (for example, Army Materiel Command, Army Forces Command, and TRADOC levels) or MOS immaterial positions within the Army where duties require broad-spectrum knowledge of the organization and the functions of the Warrant Officer Corps, but are not directly associated with any specific branch or MOS.

b. Career patterns. Career patterns will be considered when evaluating warrant officers. DA Pam 600–3 contains general models that can aid in assessing self-development, professional preparation, and potential.

(1) *Military occupational specialty.* Warrant officers are skilled technicians whose career patterns are focused on MOS qualifications. They will be assigned principal duties for their grade or next higher grade in their primary or additional MOS. Exceptions require HQDA approval and will be explained in DA Form 67–10 series (OER), part III, block c.

(2) *Special emphasis areas.* In addition to the requirement to maintain technical and tactical competence in their MOS, warrant officers will demonstrate performance and potential as Army officers. They will display leadership qualities, managerial talents, and technical and tactical competence in both their principal duty and in special emphasis areas involving other missions, tasks, and objectives that support the primary organizational mission. These areas include the following:

(a) Effective communication (brief supervisors and counsel subordinates).

(b) Sensitive interaction with people.

(c) Efficient performance of a variety of tasks (special emphasis areas as well as principal duties).

(d) Development of plans and supervision of their execution. When evaluating warrant officers' performance it will not be assumed that they are able to do all types of technical work. Their training and experience in their area of expertise will be considered. If warrant officers perform duty in areas outside their technical specialty, the evaluation will be based on willingness to assume responsibility, innovation, organizational ability, supervisory talents and thoroughness.

(3) *Career progression.* When evaluating potential for selections (for example, promotion, retention, professional development, significant assignments), rating officials need to understand the progression pattern in the officer's specific career field.

(a) Like commissioned officers, warrant officers' careers progress in positions of increased responsibility. Unlike commissioned officer positions, the skill hierarchy in warrant officer positions of responsibility is not always parallel to organizational echelons. For example, in some MOSs, company-level technical and tactical skill requirements may be greater than those required in the same MOS at the BN level.

(b) Progression within an MOS is aimed at preparing the officer to assume positions of increased responsibility within their career field and is not always associated with progression in the Army's organizational structure.

(c) Developmental opportunities to consider when evaluating potential in each career field are found in DA Pam 600–3. The highest potential evaluations will go to those who have, by demonstrated performance, shown that they are qualified for appropriate training and assignment.

(d) Performance evaluation will include the full range of warrant officer duties, technical and tactical expertise in the MOS, and leadership and managerial skills.

c. Education. Rating officials will be aware of educational requirements in the warrant officer's career field when evaluating potential.

(1) The Officer Education System, described in DA Pam 600–3, summarizes the training warrant officers receive to become qualified as leaders, technical operators, maintainers, administrators, and managers.

(a) Technical qualification may be obtained through formal civilian or military schooling, OJT, and/or individual study.

(b) The minimum civilian education prerequisite for appointment as a warrant officer is normally high school completion.

(c) The HQDA Civilian education objective is attainment of an associate degree in an MOS-related discipline by the fifth year of warrant officer service and a baccalaureate degree prior to promotion to CW4.

(2) The relationship of the evaluation to a warrant officer's educational career pattern will be recognized. Technical advances and new equipment and concepts dictate that warrant officers stay technically and tactically proficient.

(a) The functional and career training requirements of warrant officers' MOSs are determined by MOS proponents and approved by HQDA under the Total Warrant Officer System.

(b) When evaluating educational progress and potential for future schooling, rating officials will refer to DA Pam 600–3 for requirements in each career field. Rating officials will comment in the performance section of the OER on any recently-increased educational qualifications and on individual efforts to attain HQDA Civilian educational goals.

(c) Comments will be made on DA Form 67–10 series (OER) part VI, block c, on whether individual warrant officers are to attend a specific functional course in their career pattern.

Appendix A

References

Section I

Required Publications

AR 165–1
Army Chaplain Corps Activities (Cited in para C–4.)

AR 600–9
The Army Body Composition Program (Cited in para 1–4*b*(17).)

AR 600–20
Army Command Policy (Cited in para 2–5*b*(1).)

DA Pam 600–3
Officer Talent Management (Cited in para 4–14*b*.)

DA Pam 623–3
Evaluation Reporting System (Cited in para 1–1.)

Section II

Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this publication. Unless otherwise stated, all publications are available at the Army Publishing Directorate website (https://armypubs.army.mil/). DoD publications are available at the Office of the Secretary of Defense website (https://www.esd.whs.mil/dd/). CFR and USC material is available at the U.S. Government Publishing Office website (https://www.govinfo.gov/).

A0600–8–104 AHRC
Army Personnel System (APS) (Available at https://dpcld.defense.gov/privacy/sornsindex/dod-component-notices/army-article-list/.)

ADP 6–0
Mission Command

ADP 6–22
Army Leadership and the Profession

AR 1–201
Army Inspection Policy

AR 11–2
Risk Management and Internal Control Program

AR 15–6
Procedures for Administrative Investigations and Boards of Officers

AR 15–185
Army Board for Correction of Military Records

AR 25–22
The Army Privacy and Civil Liberties Program

AR 25–30
Army Publishing Program

AR 25–55
The Department of the Army Freedom of Information Act Program

AR 27–1
Judge Advocate Legal Services

AR 27–10
Military Justice

AR 40–501
Standards of Medical Fitness

AR 135–91
Service Obligations, Methods of Fulfillment, Participation Requirements, and Enforcement Provisions

AR 135–175
Separation of Officers

AR 135–200
Active Duty for Missions, Projects, and Training for Reserve Component Soldiers

AR 140–145
Individual Mobilization Augmentation Program

AR 200–1
Environmental Protection and Enhancement

AR 350–1
Army Training and Leader Development

AR 350–10
Management of Army Individual Training Requirements and Resources

AR 350–100
Officer Active Duty Service Obligations

AR 351–3
Professional Education and Training Programs of the Army Medical Department

AR 380–5
Army Information Security Program

AR 385–10
The Army Safety and Occupational Health Program

AR 420–1
Army Facilities Management

AR 600–8
Military Human Resources Management

AR 600–8–2
Suspension of Favorable Personnel Actions (Flag)

AR 600–8–19
Enlisted Promotions and Demotions

AR 600–8–22
Military Awards

AR 600–8–24
Officer Transfers and Discharges

AR 600–8–29
Officer Promotions

AR 600–8–104
Army Military Human Resource Records Management

AR 600–37
Unfavorable Information

AR 600–100
Army Profession and Leadership Policy

AR 601–100
Appointment of Commissioned and Warrant Officers in the Regular Army

AR 614–30
Overseas Service

AR 614–200
Enlisted Assignments and Utilization Management

AR 621–1
Advanced Education Programs and Requirements for Military Personnel

AR 621–7
The Army Fellowship and Scholarship Program

AR 638–8
Army Casualty Program

AR 735–5
Relief of Responsibility and Accountability

Army Mobilization and Deployment Reference (AMDR)
(Available at https://www.armyg1.army.mil/documents/amdrv9.pdf)

ATP 6–22.1
Providing Feedback: Counseling–Coaching–Mentoring

DA Pam 25–403
Army Guide to Recordkeeping

DA Pam 600–4
Army Medical Department Officer Career Management

DA Pam 611–21
Military Occupational Classification and Structure

Department of Defense Dictionary of Military and Associated Terms
(Available at https://www.jcs.mil/doctrine/dod_dictionary/.)

DoD 5500.7–R
Joint Ethics Regulation (JER)

DoDI 5000.66
Defense Acquisition Workforce Education, Training, Experience, and Career Development Program

DoDI 5200.02
DoD Personnel Security Program (PSP)

Executive Order 13478
Amendments to Executive Order 9397 Relating to Federal Agency Use of Social Security Numbers (Available at https://www.federalregister.gov/.)

JTR
Joint Travel Regulations (Available at https://www.defensetravel.dod.mil/site/travelreg.cfm.)

Public Law 101–12
Whistleblower Protection Act of 1989 (Available at https://www.govinfo.gov/.)

TRADOC Pamphlet 525–8–2
The Army Learning Concept for 2030-2040 (Available at https://adminpubs.tradoc.army.mil/.)

UCMJ, Art. 15
Commanding Officer's Non-Judicial Punishment (Available at https://www.ucmj.us/.)

5 USC 301
Departmental regulations

5 USC 3132
Definitions and exclusions

10 USC
Armed Forces

10 USC 175
Reserve Forces Policy Board

10 USC 806
Art. 6 Judge advocates and legal officers

10 USC 1034
Protected communications; prohibition of retaliatory personnel actions

10 USC 3013
Technical data

10 USC 7013
Secretary of the Army

10 USC 7037
Judge Advocate General, Deputy Judge Advocate General, and general officers of the Judge Advocate General's Corps: appointment; duties

10 USC 10211
Policies and regulations: participation of Reserve officers in preparation and administration

10 USC 12301
Reserve components generally

10 USC 12402
Army and Air National Guard of the United States: commissioned officers; duty in National Guard Bureau

32 USC 709
Technicians: employment, use, status

Section III

Prescribed Forms

Unless otherwise indicated, DA forms are available on the Army Publishing Directorate website (https://armypubs.army.mil/).

DA Form 67–10–1
Company Grade Plate (O1 – O3; WO1 – CW2) Officer Evaluation Report (Prescribed in para 1–1.)

DA Form 67–10–1A
Officer Evaluation Report Support Form (Prescribed in para 1–1.)

DA Form 67–10–2
Field Grade Plate (O4 – O5; CW3 – CW5) Officer Evaluation Report (Prescribed in para 1–1.)

DA Form 67–10–3
Strategic Grade Plate (O6) Officer Evaluation Report (Prescribed in para 1–1.)

DA Form 67–10–4
Strategic Grade Plate General Officer Evaluation Report (Prescribed in para 1–1.)

DA Form 1059
Service School Academic Evaluation Report (Prescribed in para 1–1.)

DA Form 1059–1
Civilian Institution Academic Evaluation Report (Prescribed in para 1–1.)

DA Form 1059–2
Senior Service and Command and General Staff College Academic Evaluation Report (Prescribed in para 1–1.)

DA Form 2166–9–1
NCO Evaluation Report (SGT) (Prescribed in para 1–1.)

DA Form 2166–9–1A
NCO Evaluation Report Support Form (Prescribed in para 1–1.)

DA Form 2166–9–2
NCO Evaluation Report (SSG – 1SG/MSG) (Prescribed in para 1–1.)

DA Form 2166–9–3
NCO Evaluation Report (CSM/SGM) (Prescribed in para 1–1.)

Section IV

Referenced Forms

Unless otherwise indicated, DA forms are available on the Army Publishing Directorate website (https://armypubs.army.mil/). DD forms are available on the Office of Secretary of Defense website (https://www.esd.whs.mil/directives/forms/).

DA Form 11–2
Internal Control Evaluation Certification

DA Form 31
Request and Authority for Leave

DA Form 87
Certificate of Training

DA Form 705
Army Physical Fitness Test Scorecard

DA Form 1380
Record of Individual Performance of Reserve Duty Training

DA Form 2028
Recommended Changes to Publications and Blank Forms

DA Form 4037
Officer Record Brief (For availability contact servicing component/career manager.)

DA Form 5500
Body Fat Content Worksheet (Male)

DA Form 5501
Body Fat Content Worksheet (Female)

OGE Form 278
Executive Branch Personnel Public Financial Disclosure Report (Available at https://www.oge.gov/web/oge.nsf/resources/oge+form+278+instructions.)

OGE Form 450
Confidential Financial Disclosure Report (Available at https://oge.gov/.)

Appendix B

Evaluation of Warrant Officers

B–1. Overview

a. Warrant officer description. Warrant officers are self-aware and adaptive technical experts, combat leaders, trainers, and advisors. Through progressive levels of expertise in assignments, training, and education, the warrant officer administers, manages, maintains, operates, and integrates Army systems and equipment across the full range of Army operations. Warrant officers are innovative integrators of emerging technologies, dynamic teachers, confident Warfighters, and developers of specialized teams of Soldiers. They support a wide range of Army missions throughout their careers. When assessing performance and potential, the rating chain will recognize the basic differences between warrant officers and commissioned officers. This appendix describes the differences, policies, and instructions to consider when evaluating warrant officers.

b. Warrant officer definition. An officer appointed by warrant (or by commission to the chief warrant grades) by the Secretary of Defense, based on a sound level of technical and tactical competence. The warrant officer is the highly-specialized expert and trainer who, by gaining progressive levels of expertise and leadership, operates, maintains, administers, and manages the Army's equipment, support activities, or technical systems for an entire career.

B–2. Warrant officer evaluation considerations

Warrant officers are comparable to commissioned officers in that both are technically and tactically competent and are authorized to perform similar functions (such as commanding a station, unit, or detachment; certifying vouchers; administering oaths; disbursing funds; and imposing discipline). Despite these similarities, the professional development, use, and evaluation of warrant officers is different from those of commissioned officers. Warrant officers are appointed to serve in technical MOSs. Thus, their professional development is aimed at increasing competence in their specialties.

B–3. DA Form 67–10 series

The basic forms used to evaluate commissioned officers and warrant officers are the same. There are, however, some differences.

a. Part III. Enter the MOS of the warrant officer's principal duty in part III, block b. If this entry is not the same as the primary MOS or is an additional MOS held by the warrant officer, refer to the HQDA career management approval in part III, block c.

b. Part IV. The rater will compare the rated officer's performance and professionalism with attributes and competencies established within the Leadership Requirements Model that apply to all officers regardless of rank or duty position (see ADP/ADRP 6–22).

c. Parts V and VI. These are the same for warrant officers and commissioned officers. Warrant officers, however, will also be rated on their potential for the technical positions in which they are qualified and not those positions with responsibilities outside their specialties.

Appendix C

Evaluation of U.S. Army Chaplains

This appendix provides an overview of the requirements, performance, and attributes of religious support in the military and guidance for effective use of DA Form 67–10 series (OER) and DA Form 67–10–1A. It is essential for personnel involved in the evaluation process to have a clear understanding of both this appendix and AR 165–1.

C–1. Chaplain religious support roles

The needs and roles pertaining to military religious support in any given situation must be clearly defined. Primary responsibility for religious support belongs to the commander. Commanders will fulfill their responsibility for the total religious welfare of their command by ensuring that DA Form 67–10–1A is used to discuss the performance of chaplains (to include staff officer and religious support responsibilities). Chaplains fulfill their responsibilities for military religious support by—

a. Realizing that each opportunity for religious support is unique.

b. Carefully analyzing their capabilities.

c. Understanding their denominational obligations and responsibilities.

d. Engaging in the organizational planning and execution processes for all operations and programs to meet the religious support needs of the organization.

e. Meeting the various religious needs of the community of faith and the represented distinctive faith groups.

f. Executing assigned unit and area coverage responsibilities.

C–2. Chaplain professional training and experience

Chaplains are normally ordered to active duty as 1LTs and are promoted to CPT within a few months after coming on active duty. Some chaplains may enter active duty as a CPT based on their number of years of civilian pastoral experience or a USAR rank. Rating officials will understand that chaplains, with a given date of rank, generally have less military experience than their Army competitive category officer peers with the same date of rank. This will be considered when evaluating initial tour chaplains. Additionally, the requirements for seminary training and pastoral experience before entry on active duty will vary among denominations. As a result, chaplains with the same date of rank and similar military experience may have significant variations in age, training, and professional experiences. These unique differences will not influence evaluations in ERS; evaluations will be based on the chaplain's performance and experience.

C–3. Chaplain rating chain

There will be a supervisory chaplain in the rating chain when possible. For example, a BDE chaplain, as the supervisory chaplain, will be the intermediate rater for a BN chaplain. In the absence of a supervisory chaplain, a senior chaplain familiar with the rated chaplain's performance will be designated as the intermediate rater if qualifications are met (see para 2–6 for intermediate rater qualifications).

C–4. Religious support coverage

Chaplains are assigned in accordance with the command master religious plan to provide unit, area, and denominational coverage (see AR 165–1). Because of the dispersion of troops and a shortage of particular denominational chaplains, commanders need to support chaplains required to perform area religious support in their performance of area religious support coverage.

C–5. Chaplaincy attributes and Army Values

Certain skills and attributes are important for professional development of the chaplain and will be considered by the rating officials when completing DA Form 67–10 series (OER) and DA Form 67–10–1A. The following are some examples of chaplain leadership potential:

a. The ability to support the professionalism of other chaplains. There is a wide range of ministry and pastoral styles and denominational requirements among Army chaplains. The chaplain's supervisor will understand the varying views, and support those involved in religious support different from their own. Chaplains will be constructive and objective in their supervision of other chaplains.

b. Consultation and confrontation skills. Chaplains will raise questions that enable commanders to understand the religious, moral, and ethical impact of issues. This relationship will be issue-oriented, nonblaming, and specific.

c. Accountability. Chaplains will accept responsibility for success or failure and learn from the experiences.

d. Integration. Chaplains will seek to integrate specific military staff skills with their professional religious convictions, practices, the chaplain leadership skills and attributes, and Army and Chaplaincy Values. Chaplains will demonstrate an ability to function in crisis and under stress.

e. Spiritual discernment. Chaplains, as men and women of faith, will need to identify and enumerate the diverse possibilities of spiritual significance of common life experiences among the people they support, and access the diverse spiritual significance and interpretation of common life experiences among the people they support.

f. Risk-taking ability. In meeting the distinctive and diverse needs of Soldiers and Families, the chaplain will possess maturity and skills to make change even at the risk of being criticized for exercising his or her convictions.

g. Development of a systems sense. Chaplains will understand and appreciate the Army systems in which religious support is performed and how the chaplain can influence the spiritual, ethical, and moral good of the community. The systems sense normally develops as chaplains progress in rank and staff experience. This sense of systems integration is a primary contribution of the chaplain to the commander's ability to plan for and support the free exercise of religion within an organization through the full range of operations.

h. Performance counseling. Performance counseling is a supervisory skill. Performance counseling is objective and conveys to the supervised person the nature and quality of their functioning on the job.

C–6. Professional skills and responsibilities

Every chaplain has professional skills and responsibilities under the chaplaincy's two core capabilities of religious support and special staff work. The chaplain's assignment will indicate the balance of work performed under these capabilities. In some cases, the chaplain will be responsible for a preponderance of religious support responsibilities and will require the support, training, and evaluation suitable for this work. In other cases, the chaplain will be assigned to a preponderance of staff work and will require the support, training, and evaluation appropriate for the assignment. In every assignment, as part of the core mission of the chaplaincy, chaplains will perform some functions under religious support and staff work. The following functions are often performed by chaplains; knowledge of these functions will assist rating officials in evaluating effective religious support programs:

a. Provide religious services and programs designed to meet the needs of diverse and distinctive faith groups in the organization and community.

b. Speak as appropriate on military procedures and policies that violate the ethical and moral values of the Army or that isolate or unjustly treat individuals or groups.

c. Support and respect the distinctive requirements and religious professionalism of other chaplains.

d. Cooperate in the total command religious program and ensure religious support for units that have no assigned chaplains.

e. Assist the commander in planning for the resourcing and execution of all items of the Religious Support Program.

f. Help identify for the command potentially disruptive social patterns that violate federal standards for EO.

g. Enlist, train, and involve persons in programs of worship, community involvement, and religious education.

h. Facilitate healthy interpersonal relationships in congregational activities, work groups, Family life, and community activities.

i. Use creative methods of instruction that involve people in personal and spiritual growth.

j. Establish rapport with personnel (to include military personnel, authorized civilians, retired personnel, and their Families) of varied religious, cultural, and social backgrounds.

k. Effectively manage current resources and identify additional resources needed to implement religious programs.

l. Advise and assist RC units and personnel concerning military religious support.

m. Perform religious support in crisis.

n. Provide ethical and moral leadership across the full spectrum of operations.

o. Provide instruction to Soldiers and Family members to develop their understanding in such areas as relationships, drug and alcohol awareness, Family separation, suicide awareness, and stress management.

p. Prepare for mobilization and deployment.

q. Integrate and utilize chaplain assistants in the accomplishment of the religious support mission.

C–7. DA Form 67–10 series

The following guidance will assist the rating officials to complete certain portions on DA Form 67–10 series (OER).

a. Part III, block a. Select the most appropriate, specific functional duty position title. The following representative duty position titles may be used, although the list is not all-inclusive:

(1) Chaplaincy resources manager.

(2) Clinical pastoral education supervisor.

(3) Command, unit (that is, BN, BDE, brigade combat team (BCT), division, Army command), or organization chaplain.
(4) Community pastor.
(5) Confinement facility chaplain.
(6) Family life center chaplain.
(7) Chaplain hospital clinician.
(8) Chaplain pastoral coordinator.
(9) USAR chaplain coordinator.
(10) Chaplain Service school instructor.
(11) Plans and operations chaplain.
(12) Operations and staff support chaplain.
(13) Other areas of interest that do not require full-time activity but provide significant ministries will be added to the above list as additional duties. The following list is representative:
(a) Supervisory chaplain (number of chaplains supervised).
(b) Staff and parish development consultant.
(c) Chaplain training manager (supervises planning and execution of unit ministry team training).
(d) Religious education supervisory chaplain.
(e) Area ministry.

b. Parts IV, V, and VI. The following list represents some of those areas in which the chaplain may be rated to be the most competent in performance and have the greatest potential:
(1) Preaching and leading in worship.
(2) Religious education.
(3) Pastoral counseling.
(4) Staff officer.
(5) Supervision of other chaplains and staff.
(6) Staff and parish development.
(7) Pastoral visitation of troops and Families.
(8) Human relations and small group ministry.
(9) Program or project management.
(10) Administration.
(11) Civilian community relations.
(12) RC chaplain coordinator.
(13) Resource management.
(14) Unit ministry team leader.

c. Parts IV and VI. If the rated chaplain is well qualified for advanced professional (civilian) training, identify no more than two areas for which they will be recommended using the list in paragraph C–7*a*. If appropriate, cite instances of the chaplain's specific performance using paragraph C–6.

d. Clinical pastoral education or Family Life Chaplain Training Supervisory in Training Program. Chaplains participating in the clinical pastoral education or Supervisory in Training Program will receive an AER for the first year in the program and OERs for subsequent evaluations during the program.

Appendix D

Special Considerations for Rating Judge Advocate General's Corps Officers

D–1. Overview

The JAGC's mission is to provide principled counsel and premier legal services in support of a ready, globally responsive, and regionally engaged Army. JAGC personnel are expert and versatile in two core legal competencies: legal support for Soldiers/Family members (which encompasses the legal functions of providing Soldier and Family legal services, and trial defense services), and legal support for the Army (which encompasses the legal functions of providing advice on administrative and civil law, contracts and fiscal law, military justice, and national security law). All judge advocates are bound by a strict code of professional responsibility, and therefore are required at all times to provide legal, accurate, and competent advice. Refer to DA Pam 600–3 for more details on the roles and responsibilities of JAGC officers.

D–2. Evaluation of Judge Advocate General's Corps officers

a. Only TJAG, the Deputy Judge Advocate General, and commissioned officers of the U.S. Army judiciary may serve as rater, intermediate rater, or senior rater of a JAGC officer assigned to the U.S. Army judiciary as a military judge or to the U.S. Army Legal Services Agency as a military magistrate.

b. No convening authority or any member of their staff may evaluate a JAGC officer assigned additional duties as a military judge or as military magistrate on the performance of their duties in that capacity.

c. No rating official will give an adverse or less favorable rating or comment regarding a rated officer because they zealously represented, in any official capacity, an eligible individual with whom the rated officer had formed an attorney-client relationship.

d. JAGC officers assigned, as prescribed in Article 6a, UCMJ (10 USC 806(a)), as the senior Judge Advocate on the staff of a commander authorized to convene General Courts-Martial will be the SJA. The SJA is required to provide the commander independent legal advice pursuant to 10 USC 7037(e)(2). In accordance with that statutory requirement, SJAs will normally be rated and senior rated by the General Court-Martial Convening Authority.

e. JAGC officers assigned to BDE/BCTs will have a rating chain that is in accordance with paragraph 2–3 and will normally be considered as serving under dual supervision; therefore, paragraph 2–21 applies.

(1) BDE/BCT judge advocates will, whenever possible, be rated by their local SJA and senior rated by the BDE/BCT commander.

(2) JAGC officers serving as a trial counsel or military justice advisor within a Consolidated Legal Office in accordance with Army Regulation 27–1, paragraph 3-6d(4), will normally be rated by the Chief of Military Justice, intermediate rated by the BDE judge advocate, and senior rated by the SJA.

f. JAGC officers assigned to non-BDE/BCT positions in the Office of the SJA may be rated by their immediate supervisor, intermediate rated by the Deputy SJA, and senior rated by the SJA, as appropriate.

D–3. Evaluating officers detailed to on-the-job training

a. Officers attending law school under TJAG's FLEP will be evaluated for periods of OJT, as described in paragraph 3–52. When evaluating these officers, consider their grade, experience, and schooling. They will not be compared with experienced lawyers.

b. For officers taking part in the FLEP, the following entry will be placed in DA Form 67–10 series (OER), part III, block c: "Officer is a full-time, active duty student attending law school at government expense under AR 27–1. On-the-job training continues in the summer when school is not in session."

c. Upon completion of FLEP, and while still affiliated with a university education program pending successful completion of a state bar exam, DA Form 1059–1 will be used to comment on any non-judge advocate duties performed after the officer successfully graduates law school but before the officer successfully completes a state bar examination. A FLEP officer completing BOLC is required to receive a DA Form 1059. This period of time will also be accounted for as nonrated time using the appropriate nonrated time codes on the rated officer's initial tour of extended active duty OER. It will cover the period since the "Thru" date of the last JAGC–OJT OER and before the first duty days performed as a JAGC officer.

D–4. Initial tour of extended active duty

a. A code 14, Initial OER, will be rendered upon completion of 120 duty days as a JAGC officer, regardless of prior service in a branch other than JAGC, in a principal duty assignment under a single rater as detailed in paragraph 3–53. This applies only if no OER has been made during the current period of service.

b. A code 14, Initial OER, applies only to officers who complete law school under TJAG's FLEP.

c. Officers programmed for attendance at BOLC will not be evaluated in accordance with this paragraph before completing the course.

D–5. Judge Advocate General's Corps officers assigned to the U.S. Army Trial Defense Service

JAGC officers assigned to the U.S. Army Trial Defense Service are not considered to be under dual supervision (see para 2–21).

Appendix E

Evaluation of U.S. Army Medical Department Officers

E–1. Evaluation of U.S. Army Medical Department residents, interns, and fellowship students

The OER has a unique purpose when used to evaluate the performance and potential of medical corps (MC), dental corps (DC), veterinary corps (VC), Army nurse corps (AN), medical specialty corps (SP), medical service corps (MS) resident, intern, and fellowship students in graduate health education (also referred to as long-term health education and training). Special instructions for rating MC, DC, VC, AN, SP, and MS residents, interns, and fellowship students are specified in this appendix. The OERs will be completed as prescribed in chapter 3, unless indicated otherwise in this appendix.

a. DA Form 67–10–1A.

(1) Part I will be completed by servicing administrative office.

(2) Part IV will be completed by the servicing administrative office. The duty title will be specific (for example, intern, first-year surgical resident, dietetic intern, dental general practice resident, veterinary preceptorship, clinical pathology, and so on). The duty area of concentration for this assignment will reflect the specialty for which the rated officer is being trained.

(3) Part V will describe the program goals (to include academic and practicum requirements) and achievements during the rating period.

b. DA Form 67–10 series. This form will be completed in accordance with DA Pam 623–3.

(1) Part II, Authentication, will be completed in accordance with DA Pam 623–3.

(2) Part III, Duty Description, is comprised of three parts:

(a) Block a, Principal Duty Title. The duty title will parallel the duty title shown on the DA Form 67–10–1A.

(b) Block b, Duty Area of Concentration. Enter the specialty for which the rated officer is being trained.

(c) Block c, Significant Duties and Responsibilities. Refer to DA Form 67–10–1A, part IV, block c. This portion allows the rater to describe the rated officer's program, to include academic and practicum requirements during the rating period. When utilized, most raters will use part IV, block c, of DA Form 67–10–1A to help them complete this section. This information is particularly important to HQDA selection boards; therefore, raters will record it with thought and detail.

(3) Part IV, Performance Evaluation–Professionalism, Competencies, and Attributes. The rater completes these items as directed in DA Pam 623–3 and as follows:

(a) Performance Comments (part IV, block c, on DA Form 67–10–1; part IV, block d, on DA Form 67–10–2; part IV, block c, on DA Form 67–10–3). Comment on specific aspects of performance during the rated period. This portion is most significant because it provides HQDA with a detailed account of the participants' progress in their graduate health education. These comments will describe the rated officer's academic and practicum achievements. In the case of MC and DC officers, the house staff evaluation report, as required by AR 351–3, will assist the rating official. These comments will be brief but will provide a clear description of the officer's graduate education progress.

(b) Performance Ratings and Overall Performance Comments (part IV, block b, on DA Form 67–10–1 and part IV, block e, on DA Form 67–10–2). Complete as directed in DA Pam 623–3. Comment on the performance of the rated officers compared with their contemporaries during the evaluation period. The focus is on the results achieved and the manner by which they were achieved.

(4) Part V, Intermediate Rater will be completed as directed in DA Pam 623–3.

(5) Part VI, Senior Rater, will be completed as directed in DA Pam 623–3.

c. DA Form 1059 series. These forms will be prepared by Service schools and civilian institutions in accordance with DA Pam 623–3.

d. Rating officials for medical corps, dental corps, veterinary corps, Army nurse corps, medical specialty corps, and medical service corps resident, intern, and fellowship students in graduate health education.

(1) *Medical corps and dental corps officers.* Commanders will designate as rating officials those staff officers directly responsible for the education program of the rated officer at the lowest practical level. Exceptions to paragraphs 2–5, 2–6, and 2–7 are as follows:

(a) The rating officials need not be senior to the rated officer; however, the senior rater will be senior in grade or date of rank to the rater.

(b) The teaching chiefs for the Dental Graduate Education Programs are authorized to rate officers senior to them in grade and date of rank. This exception will be used only when the teaching chief totally supervises the student's graduate level instructions and day-to-day duties in the educational environments.

(2) *Other U.S. Army Medical Department officers.* These evaluation reports are completed as directed by the proper authority.

(3) *Change in type of internship.* If an officer changes from a rotating (or flexible) internship to a straight internship in an expanded residency specialty after 90 days but before completion of the internship year, an OER will be submitted. If the officer has already been selected for a residency in the specialty to which the internship is changed, submit a "Change of Duty" OER showing the new duty as first-year graduate medical education; otherwise, submit a "Change of Rater" OER.

E–2. Newly commissioned U.S. Army Medical Department officers

Newly commissioned AMEDD officers begin their military careers with the necessary skill sets to perform their assigned duties even before successfully completing the Officer Basic Leaders Course (phases I and II). These officers are entitled to receive mandatory and optional OERs as detailed in chapter 3. In order to receive an OER, the rated officer must have been assigned under a rater for 90 calendar days. For USAR AMEDD TPU, DIMA, and drilling IRR officers and ARNG AMEDD officers, the minimum required rating period is 120 calendar days (see apps G and H). The senior rater will comment on DA Form 67–10 series (OER), part VI, block c, indicating that the officer has not yet completed the basic course as of the "Thru" date of the OER. The "From" date on the first OER for an AMEDD officer will be their commissioning date.

E–3. Rating officials for military physician assistants

Military physician assistants work directly under the control of a supervising physician in performing their patient care duties. This supervising physician will be included as either the rater or the senior rater of the physician assistant in all cases when the physician assistant is performing primarily clinical duties. If the primary duties are administrative then the requirement for a physician in the rating scheme is not necessary unless clinical duties are performed part-time. In that case, a physician should act as the intermediate rater to comment on those clinical duties. If serving as the rater, the supervising physician will be equal in rank but not necessarily senior by date of rank to the physician assistant. When the supervising physician is not assigned to the same organizational element, a case of dual supervision may exist. In this case, the commander will designate the other rating official (rater, intermediate rater, or senior rater), as indicated in paragraph 2–21.

E–4. U.S. Army Medical Department colonel commanders as senior raters

The following conditions will be met in order for an AMEDD COL commander to senior rate or review officers and NCOs in their command:

a. DA Form 67–10 series. As an exception to paragraph 2–7*a*(13), commanders junior by date of rank to the rated officer and rating chain may serve as senior raters, provided:

(1) They have been appointed as a commander by the direction of the President of the United States (see AR 600–20).

(2) They are authorized to rate the rated officer's rater and/or intermediate rater in accordance with this regulation (see para 2–5).

(3) As an exception to paragraph 2–7*a*(12), Army AMEDD COL commanders junior by date of rank to the rated officer and rating chain may serve as senior raters, provided they meet paragraphs E–4*a*(1) and E–4*a*(2).

(4) As an exception to paragraphs 2–5 and 2–7, AMEDD COLs, junior by date of rank, may serve as raters and senior raters for COLs under their supervision as follows:

(a) COL-level Directorates, OTSG/U.S. Army Medical Command (MEDCOM).

(b) Chief of Staff, MEDCOM regional health commands (RHCs) and Deputy Commanders, major subordinate commands.

(c) COL-level AMEDD Corps Chiefs.

(d) Director, AMEDD Personnel Proponency.

(e) Director, Medical Capabilities Integration Center.

(f) Dean, Academy of Health Sciences.

(g) Dean, U.S. Army School of Aviation Medicine.

(h) Director, U.S. Army Aeromedical Activity.

(i) Director, Armed Forces Medical Examiner (AFME), regardless of the AFME director's component in the U.S. Armed Forces (for example, U.S. Army, USN, USAF).

(5) As an exception to paragraphs 2–5 and 2–7, OTSG/MEDCOM COLs serving as Deputy Chiefs of Staff (DCS) for OTSG/MEDCOM who are junior by date of rank, may serve as:

(a) Raters of senior COLs under their supervision.

(b) Senior raters of LTCs and below rated by the COL-level Directors who are senior in date of rank.

b. DA Form 2166–9 series. Commanders who are junior by date of rank to the rater may serve as senior raters.

E–5. Rating officials for U.S. Army Medical Command, subordinate Army Medical Commands, activities, and field operating agencies

The rules in this paragraph apply to MEDCOM and its field operating agencies, RHCs, DCS-Public Health, Dental Care Delivery, DCS-Warrior Care and Transition, and their respective subordinate activities.

a. Major subordinate commanders, MEDCOM will be evaluated as follows:

(1) The commanders of Atlantic, Central, and Pacific RHCs will be rated and senior rated by the CG, MEDCOM. However, when the commander of an RHC also serves as the hospital commander, then a case of dual supervision exists and the commander, RHC/hospital will be rated by the senior mission commander and senior rated by the CG, MEDCOM, regardless of date of rank.

(2) The Commander, RHC-Europe, will be rated by the Deputy Commander, U.S. Army Europe (USAREUR), and senior rated by the CG, MEDCOM, regardless of date of rank. The Commander, USAREUR may serve as the intermediate rater at their option.

(3) The Commander, RHC-Pacific, will be rated by Commander, U.S. Army Pacific and senior rated by CG MEDCOM, regardless of date of rank.

b. When none of the rules in paragraph E–5*a* can be applied, the CG, MEDCOM, will be the rater and senior rater for the major subordinate commander concerned. The senior mission commander will submit written comments concerning the rated officer's duty performance to the CG, MEDCOM, in accordance with paragraph 2–21. When serving as both rater and senior rater, the CG, MEDCOM, may delegate rater and/or senior rater responsibility to their deputy surgeon general (DSG) or deputy commanding general (DCG), provided the DSG or DCG meet the grade or date of rank requirements to serve as raters.

c. The Commander, Health Facility Planning Agency will be rated by the G–9, MEDCOM, and senior rated by the DCG-Support, MEDCOM.

d. The Commander, U.S. Army Health Care Acquisition Activity (HCAA) will be rated by the senior acquisition corps officer, as designated by DoD, and senior rated by the CG, MEDCOM. HCAA officers will be rated by the Commander, HCAA, grade permitting, and senior rated by the senior acquisition corps officer in accordance with DoD policy.

e. Commanders, U.S. Army Medical Centers (MEDCENs) and medical department activities (MEDDACs) are considered to be under dual supervision. Under the provisions of paragraph 2–21, the rater and senior rater responsibilities will be shared between the senior mission commanders, and the commanders, RHC. The senior commander will serve as the senior rater.

f. The Director, Dental Care Delivery and subordinate dental units will be evaluated as follows:

(1) The Director, Dental Care Delivery will be rated by the DCS, G–3/5/7, MEDCOM and senior rated by the DSG, MEDCOM.

(2) The commanders, Dental Health Commands will be rated and senior rated by the CGs, RHCs.

(3) The commanders, Dental Health Activity (DENTAC) will be rated by the commanders, Dental Health Commands, grade permitting, and senior rated by the senior mission commander.

(4) Dental clinic commanders are considered to be under dual supervision. The commanders, DENTAC and senior mission will serve as rater and senior rater. The senior commander will senior rate.

g. Commanders junior by grade to their subordinate commanders are not authorized to serve as rater or senior rater to those commanders senior by grade. Accordingly, major subordinate commands will ensure that junior officers are not assigned to command positions whereby they will be junior in grade to their subordinate commanders.

h. Deputy commanders for administration will be rated as follows:

(1) General officer RHC commanders will rate and senior rate RHC deputy commanders for administration. If the RHC commander is a field grade officer, the RHC deputy commander for administration will be rated by the RHC commander and senior rated by the deputy commanding general-operations (DCG–OPS), MEDCOM.

(2) The MEDCEN and MEDDAC deputy commanders for administration will be rated by the MEDCEN/MEDDAC commander and senior rated by the RHC commander. When applicable, the senior mission commander will serve as the intermediate rater under the dual supervision provisions of paragraph 2–21.

i. Deputy commanders for clinical services (DCCSs) will be rated as follows:

(1) General officer RHC commanders will rate and senior rate RHC DCCSs. If the RHC commander is not a general officer, the RHC DCCS will be rated by the RHC commander and senior rated by the DCG–OPS, MEDCOM.

(2) The MEDCEN/MEDDAC DCCSs will be rated by the MEDCEN/MEDDAC commander and senior rated by the RHC commander. When applicable, the senior mission commander will serve as the intermediate rater under the dual supervision provisions of paragraph 2–21.

j. The chief nurse will be rated as follows:

(1) The senior nurse executive, MEDCOM will be rated by the Director, Patient Care Integration, grade or date of rank permitting. If the DCS, G–3/5/7 is a general officer, they will senior rate; otherwise, the Chief of Staff, MEDCOM will serve as the senior rater.

(2) The RHC regional nurse executive will be rated and senior rated by the general officer RHC commander. If the RHC commander is not a general officer, the RHC commander will rate and the DCG–OPS, MEDCOM will senior rate.

(3) The MEDCEN/MEDDAC deputy commander for nursing/chief, nurse will be rated by the MEDCEN/MEDDAC commander and senior rated by the RHC commander.

(4) The Commander, U.S. Army Health Clinic will rate the deputy commander for nursing/chief, nurse. The senior rater will be the MEDDAC or RHC commander, depending on who is the medical treatment facilities next higher command.

k. Certified registered nurse anesthetists serve under dual supervision. Accordingly, the rater and senior rater role will be shared between the chiefs of the nursing and surgery departments. Seniority will determine the rater and senior rater responsibilities.

l. Commanders, chiefs, or officers-in-charge of health clinics or installations where there is no RHC or MEDDAC and who also serve as the senior mission commander's director of health services will be rated as follows:

(1) The senior mission commander will serve as rater when senior to the rated officer but junior by grade or date of rank to the MEDDAC or RHC commander exercising command and control over the health clinic. The MEDDAC or RHC commander, whichever applies, will serve as the senior rater.

(2) The deputy commander or member of the senior mission commander's staff, as designated by the senior mission commander, will serve as the rater when the senior mission commander is senior to the RHC or MEDDAC commander that exercises command and control over the health clinic. The MEDDAC or RHC commander, whichever applies, will serve as the senior rater.

(3) In instances where the senior mission commander is junior by grade to the rated officer, the MEDDAC or RHC commander, whichever applies, will serve as the rater. The senior mission commander will provide a memorandum of input for the rater's use in preparing the OER. If the RHC commander serving as the rater is a general officer, the RHC commander will also serve as the senior rater. If a field grade RHC commander is the rater, the senior rater will be the DCG–OPS, MEDCOM. If the MEDDAC commander is serving as the rater, the RHC commander will serve as the senior rater.

m. The Director, U.S. Army Aeromedical Center, will be rated by the DCS, G–3/5/7, MEDCOM, grade or date of rank permitting, and senior rated by the Chief of Staff, MEDCOM.

n. The chiefs, department of dentistry, MEDDAC will be rated as follows:

(1) The MEDDAC DCCS will serve as rater, grade or date of rank permitting, and the DENTAC commander will serve as the senior rater. The MEDDAC's chief, department of surgery will serve as the intermediate rater, grade or date of rank permitting.

(2) When neither the MEDDAC DCCS nor chief of surgery are qualified to serve in the rating chain, they will provide a letter of input to the DENTAC commander who will serve as the rater. The Commander, Dental Health Command, will serve as the senior rater, grade permitting.

o. Unless otherwise specified in this appendix, the rating schemes for DC officers will include only DC officers.

p. Unless otherwise specified in this appendix, the rating chain for all MEDCOM personnel will be in MEDCOM channels.

q. Where compliance with this paragraph cannot be accomplished because of grade or date of rank structure, or dual supervision is questionable, contact the Evaluations Branch, Military Human Resources Division, MEDCOM for assistance in obtaining the proper rating scheme.

E–6. Rating officials for Army Reserve and Army National Guard U.S. Army Medical Department officers

The following rules apply to USAR AMEDD IMA, DIMA, TPU, IRR, and Standby Reserve AMEDD officers assigned or attached to Regular Army AMEDD units for AT, ADT, IDT, ADOS–RC, ADOS, or CO–ADOS:

a. An exception to the requirement for the rater to be senior to the rated officer by date of rank is granted; provided the rater is the immediate supervisor and they meet the minimum time requirements.

b. The senior rater will be senior to the rated officer and the rater, except as indicated below:

(1) COL commanders may serve as senior raters for COL USAR and ARNG AMEDD officers assigned or attached to their unit for duty.

(2) In instances where the Veterinary Services or Dental Care Delivery Directors are serving as the rater, the senior rater will be the DCS, G–3/5/7.

c. COL commanders serving as senior raters for COL USAR and ARNG AMEDD officers will cite this paragraph as authority to senior rate on DA Form 67–10 series (OER), part VI, block c. Under no circumstances will a COL commander serve as both rater and senior rater. See paragraph G–5*k* for USAR AMEDD officers who are attached to and managed by the APMC.

Appendix F

U.S. Army Human Resources Command and Other Addresses

F–1. Addresses for various applications

Table F–1 provides HRC addresses for submitting various forms and contact information for circumstances relevant to evaluation support.

F–2. Army Military Human Resource Record

AMHRRs are available at the following web addresses:

a. For Regular Army, USAR personnel, and ARNG personnel, access to AMHRRs is available at https://iperms.hrc.army.mil/rms/login.jsp.

b. The HRC website offers access to AMHRRs for all components available at https://www.hrc.army.mil/.

Table F–1
Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Service's personnel offices

Contact information	Soldier status and applicable form
U.S. Army Human Resources Command (AHRC–OPL–C) 1600 Spearhead Division Avenue, Room 3–2–13 Fort Knox, KY 40122–5407 Defense switched network (DSN): 983–6411 Commercial: (502) 613–6411 Website: https://www.hrc.army.mil/site/protect/branches/officer/Leader-Dev/CivSchool/Non_MEL_Programs_Main_Page.htm For AMEDD: AMEDD Student Detachment 187th Medical Battalion 2745 Harney Path, Suite 187 Joint Base San Antonio–Fort Sam Houston, TX 78234–7678 DSN: 471–3201 Commercial: (210) 221–3201 Email: usarmy.jbsa.medcom-ameddcs.mbx.student-det@mail.mil	Regular Army and USAR: DA Form 1059–1 (officers only)
U.S. Army Human Resources Command Evaluation Processing (AHRC–PDV–ER) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407[1]	For officers: Regular Army and USAR: DA Form 67–10 series (OER), DA Form 1059, DA Form 1059–2, and requests for HQDA review of DA Form 67–10 series (when U.S. Army officer/uniformed Army advisor for supplementary review is not available) For NCOs: Regular Army and USAR: DA Form 2166–9 series (NCOER), DA Form 1059, and requests for HQDA review of DA Form 2166–9 series (NCOER) (when U.S. Army officer/uniformed Army advisor for supplementary review is not available) ARNG: DA Form 2166–9 series (NCOER), DA Form 1059 with "From" date of March 01, 2019 and later, and requests

Table F–1
Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Service's personnel offices—Continued

Contact information	Soldier status and applicable form
	for HQDA review of DA Form 2166–9 series (NCOER) (when U.S. Army officer/uniformed Army advisor for supplementary review is not available)
U.S. Army Human Resources Command Evaluation Appeals (AHRC–PDV–EA) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407 DSN: 938–9022 Commercial: (502) 613–9022 Email: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil	For officers: Appeals and addenda for Regular Army, USAR, and ARNG: DA Form 67–10 series (OER), DA Form 1059, DA Form 1059–2 (requests for administrative correction), and DA Form 1059–1 (Regular Army and USAR) For NCOs: Appeals and addenda for Regular Army and USAR: DA Form 2166–9 series (NCOER) and DA Form 1059 (requests for administrative correction or missing evaluation statements (Regular Army and USAR)) Appeals and addenda for ARNG: DA Form 2166–9 series (NCOER) and DA Form 1059 with "From" date March 01, 2019 and later, or requests for administrative correction[2]
U.S. Army Human Resources Command Evaluation Systems (AHRC–PDV–E) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407 DSN: 983–9019 Commercial: (502) 613–9019 Email: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil[3] Website: https://www.hrc.army.mil/site/Active/TAGD/ESPD(formerly_MSD)/ESO/ESO.htm (Policy information or clarification and access to all evaluation report-related applications are available at the web address)	For officers: Regular Army, USAR, and ARNG Commander's and Commandant's Inquiries pertaining to DA Form 67–10 series (OER), DA Form 1059, and DA Form 1059–2 For NCOs: Regular Army, USAR, and ARNG Commander's and Commandant's Inquiries pertaining to DA Form 2166–9 series (NCOER) and DA Form 1059[4]
Chief, National Guard Bureau Evaluation Reports (ARNG–HRP–R) 111 South George Mason Drive Arlington, VA 22204–1373 DSN: 327–9706 Commercial: (703) 607–9706	For officers: ARNG: DA Form 1059–1[5]
Chief, National Guard Bureau Evaluation Appeals (ARNG–HRH) 111 South George Mason Drive Arlington, VA 22204–1373	For officers: Commander's and Commandant's Inquiries, and addenda for ARNG DA Form 67–10 series (OER), DA Form 1059, DA Form 1059–1, and DA Form 1059–2 For NCOs: Commander's Inquiry and addenda for ARNG DA Form 2166–8, DA Form 2166–9 series (NCOER), and DA Form 1059, or requests for administrative correction[6]

Table F–1
Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Service's personnel offices—Continued

Contact information	Soldier status and applicable form
USN: Information Technology Center ITC 14, Building 3, Third Floor 2251 Lakeshore Drive New Orleans, LA 70145–3533 USAF: Headquarters, Air Force Personnel Center Directorate of Personnel Services 550 C Street, West Suite 7 Randolph Air Force Base, TX 78150–4709 U.S. Marine Corps: Commandant, U.S. Marine Corps Headquarters, U.S. Marine Corps 2008 Elliot Road Quantico, VA 22134–5030	Non-U.S. Army Servicemember: DA Form 1059 and DA Form 1059–2

Notes:

[1] EES is the tool to check the status of processing evaluation reports for all OERs and Regular Army and USAR NCOERs.

[2] Administrative correction requests for ARNG evaluation reports and addenda may require HRC, Evaluation Appeals (AHRC–PDV–EA) assistance.

[3] Policy and initiative questions can start here but may also be addressed to specific component evaluation offices.

[4] Rater and Senior Rater Profile reports are available online.

[5] Requests for missing evaluation statements (for ARNG service only) will be sent to the rated Soldier's state officer personnel manager (OPM) or enlisted personnel manager (EPM) for review and forwarding actions.

[6] Administrative appeals for ARNG DA Form 2166–8 and DA Form 1059 with "From" dates earlier than March 19, 2019 will be addressed to the rated NCO's state EPM.

Appendix G

Managing U.S. Army Reserve Evaluation Reports

G–1. Overview

Evaluation reports for AGR Soldiers within the USAR will follow the rules established for Regular Army Soldiers. Unique USAR and AGR evaluation report preparation and processing instructions are also found in DA Pam 623–3. This appendix addresses exceptions to policy and procedures found in chapters 1, 2, and 3 that are required to meet the unique characteristics of the USAR. All other provisions of the regulation apply, unless otherwise indicated.

a. This appendix applies to the following USAR Soldiers:

(1) TPU, DIMA, IMA, IRR, reinforcement training unit, and Standby Reserve (active list) Soldiers.

(2) Soldiers on ADOS, ADOS–RC, and CO–ADOS on AT, IDT, and ADT tours.

b. Evaluation reports for Soldiers in sanctuary or AGR status will be submitted under the same guidance as for Regular Army Soldiers.

c. Where situations do not appear to be covered by this chapter, send requests for clarification to the Evaluation Systems and Policy Office (see app F).

G–2. The evaluation process

The evaluation process starts with a counseling discussion between rater and the rated Soldier.

a. For TPU, DIMA, and drilling IRR Soldiers, the initial counseling session will be conducted at the first available drill (within 30 days whenever possible). Follow-up counseling for IRR Soldiers will be conducted when performing an active duty tour for more than 180 days or when attached for IDT for more than 180 days.

b. For ADOS–RC, ADOS, and CO–ADOS, the initial counseling session will be conducted within 30 days of reporting to a unit of assignment or beginning a new rating period.

G–3. Designation and qualification of rating officials

Rating officials must be qualified to serve in their rating official capacity using chapter 2 along with the USAR-specific modifications in this paragraph.

a. Rating schemes for military technicians. When establishing rating schemes and designating rating officials for Soldiers in the MT program, there are restrictions when a condition, normally referred to as grade inversion, exists. "Grade inversion" is defined as a condition where an MT who, in their civilian MT capacity, is designated as a rating official over a military subordinate who, when the MT serves on military duty in the same unit, is the military supervisor of that MT in their military capacity. Such arrangements are contrary to military order and discipline. MTs in their civilian capacity will not be designated as rating officials over Soldiers when a grade inversion exists. However, when it is not practical and no other alternative exists, the first general officer in the chain of command may approve an exception to policy for resulting rating schemes. Approval memoranda for such exceptions to policy will be maintained at the unit level. As soon as an MT stops being an active unit member there is no restriction with regard to their service as rating officials.

b. Rating schemes for U.S. Army Reserve Soldiers on active duty tours. For Soldiers on AT, ADT, ADOS–RC, ADOS, CO–ADOS, and IDT tours of specified periods less than 90 days, all rating officials will have served in that capacity for a minimum of 12 or more consecutive calendar days. For Soldiers on tours of specified periods greater than 90 days, chapter 2 rules apply.

c. Rating schemes for Soldiers assigned or attached to organizations for indefinite periods. The following rules will apply:

(1) The rater will have served in that capacity for 120 days.

(2) The intermediate or senior rater will have served in that capacity for 90 days.

(3) This does not apply to officers when mobilized; chapter 2 rules apply during mobilization periods.

(4) General officers who are qualified and serving as both rater and senior rater may render evaluation reports on rated Soldiers after meeting a 90-day, versus a 120-day, rating requirement.

d. Rating schemes for Individual Ready Reserve Soldiers. Rating schemes for IRR Soldiers attached to a unit for points only will follow the same guidance as for TPU Soldiers.

e. Requests for exceptions to policy. In rare cases when it is necessary to obtain an exception to policy for designating rating officials, the following will apply:

(1) Requests for exceptions to policy will be in accordance with paragraph 2–7*a*(7).

(2) Any HQDA-approved exception to rating officials must be cited in published rating schemes. The rating official serving under exception will cite the authority to evaluate by exception on the evaluation report and will attach a copy of the approval memorandum as an enclosure at the time of submission (see paras 3–34 and 3–36).

(3) The HQDA memorandum of exception will state the rated Soldier's name and rank, the position in which the rated Soldier serves, the specific period covered by the exception, the rating official's name and position authorized to evaluate by the exception, and the reason for the exception.

G–4. Continuity of rating periods

Reports rendered on IRR or IMA Soldiers may cause interruptions, or gaps, in a Soldier's evaluation report history. Gap times will be either acceptable or unacceptable.

a. Acceptable gap times in a Soldier's evaluation report history include non-drilling IRR, APMC-managed officers released from attachment or assignment for the purpose of mobilization, Ready Reserve status, breaks in service, or Soldiers (excluding TPU Soldiers) who are no-shows to a unit. During gap times, Soldiers are not in a ratable status (there is no rater/rated Soldier relationship and the Soldier is not drilling) and there is no expectation of an evaluation report.

b. Soldiers assigned to the IRR or the Ready Reserve are not in a ratable status, unless drilling. Periods when there is no rater/rated Soldier relationship are acceptable gaps in these Soldiers' evaluation report history. The gap is supported by the orders assigning them to the IRR or Ready Reserve or subsequent mobilization orders. The "From" date of an evaluation report will be the date the Soldier is assigned to a TPU.

c. Unacceptable gap times include periods when a rated Soldier was in a status that warranted an evaluation report but rating officials failed to render a report. Such gap times will be resolved by the rating chain with responsibility for the rated Soldier.

d. Periods when a rated Soldier is in a medical hold status may be either rated time or nonrated time depending on what the Soldier is doing (for example, Soldiers in a hold status may be assigned to a rating chain for evaluation report purposes, unless otherwise prohibited by this regulation; however, periods of specialized training, in-transit travel, and schooling are nonrated time on evaluation reports). See paragraph 3–35 for examples of special evaluation report situations.

e. Periods of nonparticipation will be documented as nonrated time on evaluation reports (nonrated code Z in accordance with DA Pam 623–3).

f. When a Soldiers' participation is unsatisfactory due to failure to participate in any battle assemblies, AT, and so forth, and the Soldier is declared an unsatisfactory participant, they can no longer be evaluated; thereafter, until they return to an active status and begin participating, the time period covered by the unsatisfactory performance will be documented as nonrated time on evaluation reports (nonrated code A in accordance with DA Pam 623–3). No report will be rendered until the Soldier returns to an active status and meets minimum rater qualifications (see para G–5*g)*.

g. Rating official instructions in chapter 2 discuss rating officials' and the rated Soldier's responsibilities.

h. Rating officials will not comment on the Soldier's performance during gap times as well as nonrated periods as indicated in paragraphs 3–34.

G–5. Reporting periods and types of evaluation reports

Reports covered in chapter 3, sections VIII and IX take precedence over other optional reports. USAR-specific reporting requirements are as follows:

a. Soldiers will receive annual evaluation reports following 1 calendar year out of the IRR, Regular Army, or ARNG.

b. Soldiers in the Selected Reserve (TPU, IMA, and DIMA Soldiers) will receive evaluation reports annually, at a minimum, from the unit of assignment or attachment.

c. IRR Soldiers attached to a unit for points only will receive evaluation reports under the same criteria as TPU Soldiers. The Soldier can only be attached to one unit at a time for points only.

d. For Soldiers in an active status for 30 days or more at a military or civilian school, an AER will be prepared upon completion of military or civilian schools for which a USAR Soldier is authorized to receive an AER.

e. Instead of a DA Form 1059, a DA Form 87 will be awarded to Soldiers for completing the ALC common curriculum (phase I); unless there is no ALC technical phase established for a Soldier's MOS.

f. When minimum rater qualifications are met, USAR Soldiers entering duty with the Regular Army in an individual status will receive an evaluation report prior to departing the USAR unit. This does not apply to Soldiers in an IRR status or those attached or assigned to the APMC. The "Thru" date of the evaluation report will be the day before the effective date of active duty. When an entire unit mobilizes, however, a report is not required unless otherwise required by chapter 3.

g. For general officer IMA personnel, OERs will be prepared annually or upon completion of 12 cumulative days of AT, as desired by the rated officers in coordination with their proponent agencies (see AR 140–145). The rating period will begin on the date of assignment to an IMA position or the AT start date.

h. Periods of unsatisfactory participation will be nonrated time on evaluation reports. Evaluation reports cannot be prepared on Soldiers who have not met minimum rater qualification due to nonparticipation in battle assemblies.

Note. IRR time is not a ratable status; therefore, it will appear as an acceptable gap in a Soldier's evaluation report history.

i. For Soldiers assigned or attached to TPUs or rotational training units, an evaluation report will be submitted per chapter 3. However, in lieu of the 90-day requirement to qualify as a rater, the minimum period of time for an annual evaluation report will cover the following:

(1) If units are authorized 48 annual drills, 120 calendar days or more in the same position under the same rater.

(2) If units are authorized 24 annual drills, 16 or more regularly scheduled drills in the same position under the same rater.

j. DIMA Soldiers assigned to a proponent agency will normally receive evaluation reports under the same guidance as for TPU Soldiers. If events occur that require the preparation of an evaluation report before 1 calendar year (365 days or 366 days if the leap year date, 29 February, is included in the period covered) has elapsed, an evaluation report with the appropriate reason for submission will be prepared. Evaluation reports will cover performance and potential demonstrated in IDT status throughout the year and AT.

k. If AT is hosted by a second agency other than proponent agency, the AT host agency will provide letter input to proponent agency for the period of time on AT. This input from the second agency will be considered for inclusion in the evaluation report prepared by the host unit. Alternatively, the supervisor from the organization where AT was conducted may serve as an intermediate rater on an OER for a DIMA officer.

l. For IMA and IRR officers attached to the USMA Liaison Program, known as military academy liaison officers, annual evaluation reports will be submitted on 30 September of each year. For TPU officers serving military academy liaison officers, letter input for an OER prepared by the rated officer's host unit will be provided upon request.

m. For officers attached or assigned to the APMC the following applies:

(1) *U.S. Army Medical Department officers who do not complete annual training or extended combat training.* Officers attached or assigned to the APMC who have not completed at least 12 consecutive days of AT or extended combat training but who have accumulated 50 or more retirement points will receive a DA Form 67–10 series (OER) using code 19, "AHRC Directed," as the reason for submission.

(a) For rated officers who receive an "AHRC Directed" OER, the following data will be included on the OER:

1. Part I, all administrative data.

2. Part II, authentication data for the commander, APMC, as both the rater and senior rater (unable to evaluate the rated officer because they have not served as the senior rater for the required number of days).

3. Part III, duty title of APMC-managed officer, duty description for the officer's area of concentration, and area of concentration code.

4. Part IV, all blocks except block b for DA Form 67–10–1, block e for DA Form 67–10–2, and block c2, "Potential Comments," for DA Form 67–10–3 will be completed.

5. Part IV performance comments will be based on relevant training performed, other than duties mentioned in the duty description, which may have some impact in the event of mobilization.

6. In part VI, block c, using the electronic form in EES, the Commander, APMC will—

a) Select the "No" box in response to the question, "Have you been the senior rater for this officer for at least 60 days?"

b) The comment "I am unable to evaluate the rated officer because I have not been their senior rater for the required number of days" will populate in part VI, block c.

c) The senior rater will also select the "No" box in response to the question, "Is the rated officer available for signature?"

(b) The "From" date on an initial OER for an APMC officer will begin on the date of attachment and will be adjusted to the officer's retirement year ending date. The "Thru" date will be the anniversary of the officer's retirement year end date. The "From" date of successive reports will be the day after the "Thru" date of the previous OER.

(c) The Commander, APMC will evaluate the rated officer as the rater and there will be no other rating officials. The Commander, APMC will enter authentication data as the rater and senior rater and they will digitally sign the OER. The rated officer will not sign the completed DA Form 67–10 series (OER) in part II, block d, before submission to HQDA. Submission of OERs requires the entry of the required statement, "The rated officer is unavailable to sign."

(d) Comments on the duties performed and training accomplished will be based on information provided on the DA Form 67–10–1A, DA Form 1380 (Record of Individual Performance of Reserve Duty Training), and other pertinent documents provided to the Commander, APMC by the APMC officer and/or their chain of supervision at their duty location.

(e) A statement regarding APFT failure, noncompliance with weight standards, and/or the omission of these data will be entered in part IV, block a, if applicable. When applicable, the OER will be marked as a referred OER; however, as an exception to policy, referred OERs on APMC-managed officers will not be referred to the rated officer as indicated for all other OERs in paragraph 3–29 or DA Pam 623–3.

(f) Newly commissioned officers who have not completed the BOLC (phases I and II) must meet all of the requirements stated in paragraph G–5*m*(1) to receive an OER.

(g) See DA Pam 623–3, for specific items to complete on OERs for APMC-managed AMEDD officers.

(2) *U.S. Army Medical Department officers who complete annual training or extended combat training with a unit other than U.S. Army Medical Department Professional Management Command.* For rated officers who perform AT or extended combat training with a unit other than the APMC, the unit where the duty is performed will prepare and submit the OER in accordance with chapter 3.

n. Code 43, USAR General Officer Nomination OER, will only be used for nominative positions as directed by the Secretary of the Army.

o. Newly commissioned officers or newly appointed warrant officers who have not yet completed their respective officer basic course (BOLC or WOBC) and are assigned or attached to a TPU or reinforcement training unit are entitled to receive mandatory and optional OERs as detailed in chapter 3. In order to receive an OER, the rated officer must have been assigned under a rater for a minimum of 120 days (or 90 days for USAR Soldiers on ADT or ADOS–RC tours). The senior rater will enter a comment in the OER, part VI, block c, indicating that the officer has not yet completed the basic course as of the "Thru" date of the report. The "From" date on the rated officer's first OER will be their commissioning date.

p. During periods of mobilization, when an entire unit is mobilized, and the rating chain remains intact, an OER will not be prepared unless otherwise required under chapter 3 (for example, "Annual," "Change of Rater" or "Change of Duty").

q. Commander, USARC, 7th Civil Support Command, and the 9th Mission Support Command may direct reports required for board actions when the officer has not received an OER since being commissioned or appointed, provided the officer has served in the same position under the same rater for 120 days. A copy of the USARC letter directing the OER will be attached to the OER when it is forwarded to HQDA.

Appendix H

Managing Army National Guard Evaluations

H–1. Overview

This appendix addresses exceptions to policy and procedures found in chapters 1, 2, and 3 that apply to the ERS within the ARNG. Unique ARNG and AGR evaluation report preparation and processing instructions are also found in DA Pam 623–3.

a. This appendix applies only to traditional M–DAY ARNG Soldiers with either temporary or permanent federal recognition serving on ADT, active duty support (ADS), ADOS–RC, AT, IDT, and full-time National Guard duty special work. However, this appendix does not apply to ARNG members on ADOS/CO–ADOS duty or on statutory tours of active duty under the provisions of 10 USC 10211, 10 USC 12301, and 10 USC 12402. The term "ARNG Soldier" refers to officers, warrant officers, and NCOs collectively, unless otherwise specified.

b. This chapter does not apply to ARNG Soldiers serving on active duty or full-time ARNG duty under Title 10 USC and Title 32 USC AGR tours, to include Presidential Selective Reserve Call-up, partial or full mobilization for emergency or war, or ADOS. ARNG Soldiers in these groups receive their mandatory and optional OERs or NCOERs under the same guidance as for Regular Army Soldiers in accordance with chapter 3.

c. The term "states" as used in this chapter applies to the 50 United States, the territories of Guam, Puerto Rico, the U.S. Virgin Islands, and the District of Columbia.

d. The term "state AG" refers to the CG of each of those states that use such a designation for officers of equivalent positions.

H–2. Rating chain

a. Rating chains for OERs and NCOERs will correspond as nearly as practicable to the chain of command and supervision within an organization.

b. Rating chains will normally consist of the rated ARNG Soldier, the rater, and the senior rater (see para 2–3). When a rating chain is established, the rater, intermediate rater (if applicable, for OERs only), senior rater, and supplementary reviewer (identify for when applicable) are the first officials designated (see table 2–1 and paras 2–4, 2–6, 2–7, and 2–8). Some OER rating chains may have an intermediate rater (see para 2–6) and/or a supplementary reviewer (paras 2–7 and 2–8). Rating schemes and all subsequent changes will be published with an effective date and distributed in accordance with paragraph 1–4. No changes to rating chains may be retroactive.

Note Pooling, or elevating the rating chain beyond the senior rater's ability to have adequate knowledge of each Soldier's performance and potential, in order to provide an elevated assessment protection for a specific group, runs counter to the intent of the ERS and is prohibited. Rating schemes based on pooling erode Soldiers' confidence in the fairness of the ERS and in their leaders. Commanders at all levels must ensure rating chains correspond as nearly as practical to the chain of command or supervision within an organization. Senior raters must evaluate and identify their best Soldiers based on performance and potential, regardless of the particular position they occupy.

c. In rare cases when it is necessary to obtain an exception to policy for designating rating officials, the following rules apply:

(1) Requests for exceptions to policy will be in accordance with paragraph 2–7*a*(7).

(2) Any HQDA-approved exception to rating officials must be cited in published rating schemes. The rating official serving under exception will cite the authority to evaluate by exception on the evaluation report and will attach a copy of the approval memorandum as an enclosure at the time of submission (see paras 3–34 and 3–36).

(3) The HQDA memorandum of exception states the rated Soldier's name and rank, the position in which the rated Soldier serves, the specific period covered by the exception, the rating official's name and position authorized to evaluate by the exception, and the reason for the exception.

d. Rules for establishing rating chains for general officers are in table H–1.

Table H–1
Rules for establishing rating chains for general officers Continued

Assignment of rated officer	Rater	Intermediate rater	Senior rater
State AG	None[1]	None	None
Assistant state AG	State AG	None	State AG

Table H–1
Rules for establishing rating chains for general officers—Continued

Assignment of rated officer	Rater	Intermediate rater	Senior rater
Officers commanding divisions	State AG[2]	None	State AG[2] (rated officer's state)
Officers serving as assistant division commanders or deputy commanders of commands authorized a MG when the organization commander is from the same state	Organization commander	None	State AG[2] (rated officer's state)
Officers serving as assistant division commanders or deputy commanders of commands authorized a MG when the organization commander is from a different state	Organization commander	None	State AG[2] (rated officer's state)
Other general officer commands	State AG[2]	None	State AG[2]
All other officers serving in general officer positions	As directed by the state AG		

Notes:

[1] No OER or NCOER will be rendered for a state AG unless a governor of the state or territory-or in the case of the CG of the District of Columbia National Guard, the Secretary of the Army desires to write an OER or NCOER.

[2] Or overseas commander, if applicable.

H–3. Rated Soldier

a. The rated Soldier is discussed in detail in paragraph 2–10.

b. In order to be eligible for an evaluation report, ARNG Soldiers will complete 120 calendar days (excluding nonrated periods) in the same duty position under the same rater. No comments pertaining to any nonrated periods will be included on OERs or NCOERs.

c. A newly commissioned officer or newly appointed warrant officer will not be rated on an OER prior to completing BOLC or WOBC in accordance with paragraphs 3–2*i* and 3–35*b*.

d. The "P" identifier is only authorized for officers meeting criteria in paragraph 2–11. The "P" identifier is not authorized for use by NCOs. For use of the "P" identifier with rank designation see paragraph 2–11. The use of a "P" identifier also extends to rating officials (rater, intermediate rater, and senior rater). Only those authorized by paragraph 2–11 are able to use the "P" identifier with rank designation on an evaluation report when serving as a rating official.

H–4. Rater

a. The roles of the rater are discussed in detail in paragraphs 2–5 and 2–12.

b. The rater, who is the immediate supervisor of the rated ARNG Soldier, will serve for a minimum period of 120 rated days in order to render an OER or NCOER for all cases except "Relief for Cause" reports involving misconduct. The 120-day period may be waived by a general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved Soldier, including the state AG.

c. For NCOs on a Key Personnel Upgrade Program or similar tour of fewer than 16 days, the supervisor will provide the normal rater with a memorandum providing input for the NCO's next NCOER.

d. The "P" identifier is only authorized for officers meeting criteria in paragraph 2–11. The "P" identifier is not authorized for use by NCOs. For use of the "P" identifier with rank designation see paragraph 2–11. The use of a "P" identifier also extends to rating officials (rater, intermediate rater, and senior rater). Only those authorized by paragraph 2–11 are able to use the "P" identifier with rank designation on an evaluation report when serving as a rating official.

H–5. Intermediate rater (DA Form 67–10 series only)

a. The roles of the intermediate rater are discussed in detail in paragraphs 2–6 and 2–13.

b. The intermediate rater will be designated and serve for at least 90 calendar days in order to render an OER on a rated ARNG officer.

c. The "P" identifier is only authorized for officers meeting criteria in paragraph 2–11. The "P" identifier is not authorized for use by NCOs. For use of the "P" identifier with rank designation see paragraph 2–11. The use of a "P" identifier also extends to rating officials (rater, intermediate rater, senior rater). Only those authorized by paragraph 2–11 are able to use the "P" identifier with rank designation on an evaluation report when serving as a rating official.

H–6. Senior rater

a. The roles of the senior rater are discussed in detail in paragraphs 2–7 and 2–14.

b. The senior rater will serve for a minimum period of 90 calendar days in order to render an OER or NCOER on a rated ARNG Soldier. However, the senior rater may, at their option, evaluate a rated Soldier after being in the position 60 calendar days (see para 3–58).

c. Senior raters for OERs must meet the grade requirements specified in table 2–1.

d. The "P" identifier is only authorized for officers meeting criteria in paragraph 2–11. The "P" identifier is not authorized for use by NCOs. For use of the "P" identifier with rank designation see paragraph 2–11. The use of a "P" identifier also extends to rating officials (rater, intermediate rater, and senior rater). Only those authorized by paragraph 2–11 are able to use the "P" identifier with rank designation on an evaluation report when serving as a rating official.

H–7. Exceptions to rating chain qualifications and program responsibilities

The following are exceptions to the rating chain qualifications of paragraph 2–5*c:*

a. The assistant AG, Army or the state CSM may rate an ARNG CSM serving as an NCO academy commandant.

b. The state AG will rate the state CSM.

H–8. Supplementary review requirements and roles

a. Supplementary review requirements and roles are given in paragraphs 2–8 and 2–14.

b. For OERs, there are two exceptions to the provisions of this paragraph:

(1) All OERs requiring supplementary reviews will be sent to the address listed in appendix F.

(2) All OERs will be sent to the ARNG Officer Management Branch (see app F).

c. For NCOERs, see paragraphs 2–15 through 2–17. There is no minimum time in position requirement for the supplementary reviewer to review the report.

d. The "P" identifier is only authorized for officers meeting criteria in paragraph 2–11. The "P" identifier is not authorized for use by NCOs. For use of the "P" identifier with rank designation see paragraph 2–11. The use of a "P" identifier also extends to rating officials (rater, intermediate rater, and senior rater). Only those authorized by paragraph 2–11 are able to use the "P" identifier with rank designation on an evaluation report when serving as a rating official.

H–9. Evaluation report forms and processing

a. In addition to the evaluation principles and forms outlined in this regulation and DA Pam 623–3, missing evaluation statements will be used by ARNG Soldiers to account for periods when an evaluation report should have been rendered but was not, and all efforts by the rated Soldier and their unit to obtain a report have been exhausted and for OERs or NCOERs periods covered by approved appeals. Requests for missing evaluation statements (para 3–34) will be submitted in memorandum format from the rated Soldier's state OPM (for OERs) or EPM (for NCOERs) (address in table H–3), through NGB (NGB–HRP–R), to HRC, Appeals Branch (AHRC–PDV–EA) (see app F).

b. If a Soldier has undocumented nonrated time, the rated Soldier's unit may request a missing evaluation statement. Requests for the issuance of missing evaluation statements for qualifying periods will be processed as follows:

(1) For OERs, the rated officer's state OPM will prepare the missing evaluation statement request, signed by the state OPM, and will forward it to NGB (NGB–HRP–R) who will conduct the intermediate level activity review to determine if the information provided substantiates forwarding the request to HRC Appeals Branch (see app F).

(2) For NCOERs, the rated NCO's state EPM will prepare the missing evaluation statement request, signed by the state G–1, to be forwarded to NGB (NGB–HPR–R) who will conduct the intermediate level activity review to determine if the information provided substantiates forwarding the request to HRC Appeals Branch (see app F).

c. NGB (NGB–HPR–R) will review requests to determine the accuracy of the information provided to substantiate the need for issuance of a missing evaluation statement. Endorsements will be construed as certification by that activity of the accuracy of the request. Requests that do not have a state level endorsement will be returned without action. The request will include the rated Soldier's name, rank, DoDID number, branch, state of assignment during the rating period in question, the applicable dates, and a brief narrative summary of the facts and circumstances. Copies of OERs or NCOERs that serve to document a gap between periods covered need not be submitted if the reports have been previously forwarded to HRC for processing. If the missing evaluation statement request is rejected, the state AG will receive an explanation along with the original request for a missing evaluation statement.

d. Requests for issuance of a missing evaluation statement may only occur when two or more years have elapsed beyond the "Thru" date for the evaluation report that did not occur. Until such time, a gap will remain in the Soldier's

evaluation history. An exception to the two year period exists for situations in which all rating officials were relieved (see para 2–19). Requests will be reviewed on a case-by-case basis and may or may not be approved by HRC.

e. If the undocumented nonrated time was served in a component other than ARNG, the rated Soldier's unit or component at the time of the undocumented nonrated period will prepare and forward a request for a missing evaluation statement to HQDA in accordance with paragraph 3–34*f*.

f. As an exception, for periods of ING status, an OER or NCOER is not expected and a missing evaluation statement is not necessary.

H–10. Mandatory evaluation reports, 120-day minimum

Reports listed in this paragraph and in chapter 3 are required if the rated Soldier has at least 120 calendar days, excluding nonrated periods, in the same duty position under the same rater during the rating period.

Note. The time period covered by an AER is counted as nonrated time on OERs and NCOERs covering the same period.

a. All reassignments not involving a change of component. This includes transfer or PCS to another state, another unit within the same state, or another duty position within the same unit. A "Change of Duty" evaluation report will be prepared in these cases, provided that the minimum rating qualifications are met. Transfer to other component OERs or NCOERs, in accordance with DA Pam 623–3, will be used to reflect a change in component (Regular Army or USAR).

b. Annual reports. The following rules apply:

(1) An annual evaluation report is mandatory upon completion of 1 calendar year of duty following the "Thru" date of the last OER or NCOER submitted, as long as the 120-day minimum rating requirement is met. The "Thru" date on the OER or NCOER will be extended until these minimums are met, when required. Soldiers will receive annual evaluation reports following 1 calendar year out of the ING, Regular Army, or USAR.

(2) An annual evaluation report will not be submitted if the rated officer is in a patient detachment, a student at a resident service school over 30 days, in a transient status, or in confinement; the OER or NCOER will be prepared after the officer returns to duty and completes the 120-day requirement.

c. Departure for 30 days or more. When an officer who has met the 120-day requirement departs on AGR, ADS, ADOS–RC, or ADT for 30 calendar days or more with the NGB, state headquarters, or another organization or agency, an OER will be prepared. The parent unit will render a "Change of Duty" evaluation report if the 120-day rule has been met prior to the officer's departure. The unit or agencies to which the rated individual is assigned for AGR, ADS, ADOS–RC, or ADT will render the OER covering those periods, to include nonrated periods prior to a change in status, if the 120-day rule was not met.

d. Officer recommended for elimination. An OER is mandatory when an officer has been recommended for elimination by:

(1) A board of inquiry that met under AR 135–175. This applies only if the officer has not received an OER during the 120 days immediately preceding the date the major commander's recommendation is forwarded through the state military personnel officer to the ARNG Personnel Services Division (see address in AR 135–175).

(2) A selection board. This applies only if the officer has fewer than 3 years of service and an OER has not been submitted during the 120-day period immediately preceding the date of the officer's letter of rebuttal through the state OPM office to the Officer Management Branch.

e. Officer failing selection for promotion. An officer who fails to be selected for promotion in the ARNG will receive an OER prior to the next promotion board that will consider their records. However, the following conditions will be satisfied:

(1) The rated officer has not received an OER since the announcement that they are not selected for promotion.

(2) The rating period will cover 120 or more calendar days as of the date in the ARNG Personnel Services Division letter announcing the zone of consideration for the next board that will consider the rated officer. This date will be the same as the date used for a "Complete the Record" evaluation report.

(3) The minimum time requirement for the rater is satisfied.

f. For Army National Guard officers entering on duty with the Regular Army. The "Thru" date of the OER will be the day before the effective date of active duty.

g. Mobilization. During period of mobilization, when an entire unit is mobilized and the rating chain remains intact, an OER is not required unless otherwise required under chapter 3 (for example, "Annual," "Change of Rater," and "Change of Duty").

H–11. Mandatory reports, other than 120-day minimum

Evaluation reports will be prepared as discussed in this paragraph and in chapter 3. Specific time requirements, if any, are listed in the descriptions of each occasion or event.

a. Nomination for promotion to general officer. An OER will be submitted when an officer is being nominated for promotion to general officer.

b. Active duty for training, active duty support, and active duty for operational support–Reserve Component. An OER or NCOER will be submitted for any period of 30 continuous calendar days or more spent on ADT, ADS, or ADOS–RC, at NGB, state headquarters, or another organization or agency. The preparing organization or agency and the rated Soldier are jointly responsible to ensure that the OER or NCOER has the correct nonrated code(s) annotated with any nonrated period that may have accrued if the rated officer was not entitled to an OER or NCOER upon departure.

c. By direction of the National Guard Bureau. An OER or NCOER will be submitted when directed by the NGB to fill a need when other types of reports in this regulation do not apply. In rare instances, state AGs may request the NGB direct an OER or NCOER under specific situations. Such requests will be sent to the ARNG Readiness Center. The 120-day requirement does not apply to NGB-directed reports.

d. Inactive national guard status (DA Form 67–10 series). An OER will be prepared upon an officer's transfer to the ING. Once transferred to the ING, the officer is not in a ratable status and an OER will not normally be prepared.

H–12. Mandatory noncommissioned officer reports

a. "Relief for Cause" reports. A "Relief for Cause" report is required if an NCO is relieved for cause. The policy and guidance in paragraph 3–56 and DA Pam 623–3 apply to all ARNG NCOs, except that the minimum rating period is 90 rated days (3 continuous months).

b. "Change of Rater" reports. "Change of Rater" reports are optional for ARNG NCOs whose rater transfers within the unit. A "Change of Rater" report is required when—

(1) An ARNG NCO or the rater transfers to another unit.

(2) An ARNG NCO or the rater transfers to the IRR or another component.

(3) Directed by the chain of command in conjunction with a change of rater or change of duty assignment.

c. Inactive national guard status (DA Form 2166–9 series). An NCOER will be prepared upon an NCO's transfer to the ING.

(1) Once transferred to the ING, the NCO is not in a ratable status and an NCOER is not normally be prepared.

(2) However, NCOERs will be prepared for SGTs and above who attend AT of more than 11 days and return to ING upon completion of the AT period. A copy of the completed NCOER will be forwarded to the state or territory EPM and submitted to HQDA no later than 30 days after the ending date of the NCOER. A copy will be given to the rated NCO and the original will be filed in the NCO's AMHRR.

H–13. Optional reports

Reports in this paragraph and in chapter 3, section X, may be submitted at the option of rating officials.

a. "Complete the Record" report. At the option of the rater, an OER or NCOER may be submitted on a rated officer or NCO who is about to be considered by an HQDA selection board for promotion or schooling (for example, officers competing for a senior Service college). However, the rated officer or NCO will have served for a minimum of 120 calendar days (excluding nonrated periods) in the same position under the same rater as of the date of the memorandum announcing the zone of consideration.

b. "Senior Rater Option" report. When a change in the senior rater occurs, the senior rater may direct that an "SR-Option" report be made on any officer or NCO they senior rates. This applies only if the following conditions are met:

(1) The senior rater has served in that position for at least 60 days.

(2) The rater meets the minimum requirements to give an "SR-Option."

(3) The rated Soldier has not received an OER or NCOER in the preceding 6 months.

c. Rater Option evaluation report (DA Form 67–10 series only). When one of the conditions described in paragraphs 3–40 through 3–43 occurs but there are fewer than 120 calendar days (excluding nonrated periods) in the rating period, a Rater Option may be submitted on a rated officer at the option of the rater. However, the rated officer will have served continuously under the same rater in the same position for 120 or more calendar days in a previous rating period.

H–14. Special officer and academic evaluation report processing at unit level

a. Referred reports.

(1) If the referral of a negative or derogatory OER or AER is required, the senior rater (OER) or reviewing official (AER) will personally refer the evaluation to the rated Soldier for acknowledgment and comment before submitting the evaluation to HQDA for processing (see para 3–27 or 3–28).

(2) Other procedures for referred evaluation reports are as described in paragraph 3–29 and DA Pam 623–3.

b. "Relief for Cause" reports. "Relief for Cause" reports will be referred to the rated officer as described in paragraph H–14*a* (see paras 2–17 and 3–56). Referral will be completed before taking any of the following actions:

(1) If the relief is directed by the rater or intermediate rater, senior raters will do the review provided they are ARNG officers (see chap 2). Otherwise, the first ARNG officer in the chain of command above the individual directing the relief will review "Relief for Cause" reports.

(2) The procedures for reviewing "Relief for Cause" reports are as follows:

(a) If the senior rater is satisfied that the "Relief for Cause" evaluation is clear, accurate, complete, and fully in accordance with the provisions of this regulation, they will indicate in the narrative that the "Relief for Cause" evaluation complies with this regulation.

(b) If the senior rater finds that the "Relief for Cause" report is unclear, contains factual errors, or is otherwise in violation of this regulation, they will return the "Relief for Cause" report to the rater or intermediate rater indicating what is wrong. The senior rater will avoid all statements and actions that may influence or alter an accurate evaluation by the rater or intermediate rater made in good faith. When the "Relief for Cause" report has been corrected, it will be returned to the senior rater.

(c) If the corrected "Relief for Cause" report is satisfactory to the senior rater, they will indicate in the narrative that the "Relief for Cause" report complies with this regulation.

(d) If the corrected "Relief for Cause" report is not satisfactory to the senior rater or if the other rating officials disagree with the need for changes in the "Relief for Cause" report, they will indicate objections to the "Relief for Cause" report in a narrative and forward the "Relief for Cause" report. When indicating objections, the senior rater is restricted to the issues listed in paragraph 2–17.

(e) If the relief was directed by the senior rater or someone above the senior rater in the chain of command, the "Relief for Cause" report will be reviewed by the first ARNG officer in the chain of command above the individual directing the relief. This officer will perform the review functions described in paragraph 2–17 using an enclosure to the OER in the format shown in figure 2–4.

H–15. Preparation and processing of forms

a. Preparation. Evaluation report forms will be prepared electronically on current form versions within EES. Distinct, clear impressions are required so that legible copies of the evaluation report can be provided to the rated officer, state headquarters (when required), and HQDA. Authorized abbreviations may be used; however, avoid acronyms. Facsimile signatures are not authorized (see DA Pam 623–3 for procedural guidance).

b. Processing. Procedures for processing ARNG evaluation reports are no different from those for Regular Army and USAR report. After evaluation reports are completed by the rating officials and provided to the rated Soldier for signature, the forms are forwarded to HQDA. Disposition procedures for ARNG evaluation reports are shown in table H–2. As an exception, DA Form 2166–8 and previous NCOER forms process to state EPM offices.

Table H–2
Disposition of Army National Guard evaluation reports

Category	Evaluation originates from	To
OERs and NCOERs AGR Title 10 USC (except for reports on U.S. Property and Fiscal Office officers)	Organization or agency or unit to which assigned	HQDA (see app F)
	Chief, NGB	HQDA (see app F)
AGR Title 32 USC	Unit	HQDA (see app F)
ADOS or ADT (on duty in state)	Organization or agency or unit to which attached	HQDA (see app F)
ADOS or ADT (on duty outside the state)	Organization or agency or unit to which attached	HQDA (see app F)

(1) When rated ARNG Soldiers digitally sign evaluation reports, the electronic copy maintained in EES is their copy. Soldiers who manually sign evaluation reports will receive a paper copy of the evaluation report. Soldiers who fail to receive a completed evaluation report within 90 days after the "Thru" date of the evaluation report will request the evaluation report from the senior rater or reviewing official or coordinate through the appropriate state OPM/EPM office for assistance. A Soldier may view evaluation reports in their online AMHRR that have been fully processed and filed.

(2) The ARNG Readiness Center will reproduce and provide an ARNG Soldier with one or more copies of their official evaluation reports upon written request from the Soldier or an authorized representative in accordance with AR 600–8–104. Soldiers can send requests to the NGB (see app F).

c. State officer personnel manager or enlisted personnel manager office requirements. The state OPM or EPM office will ensure that—

(1) Evaluation reports are complete and administratively correct.

(2) Evaluation reports are submitted to the appropriate HQDA office to arrive no later than 90 days after the "Thru" date of the evaluation report. Timely submission of reports is a consideration in view of their impact on personnel actions. Because personnel actions are based on available records, the late submission of an evaluation report may be to the detriment of either the Soldier or the ARNG. The schedule of centralized selection, promotion, and school boards will be closely monitored to ensure eligible reports, both mandatory and optional, are received in sufficient time to be included in a Soldier's board file for consideration by the board.

(3) Once the evaluation has been placed on Soldier's AMHRR, administrative changes will be accomplished only by the NGB or HRC appeals sections (as appropriate) when requested by the state military personnel officer. No changes or removal of an officer's evaluation will be made at state level.

(a) DA Form 67–10 series. The following rules apply:

1. Completed, digitally signed OERs, in original format, prepared on the most current form version available in EES, will be routed in accordance with table H–2 and submitted to HQDA using EES to the greatest extent possible.

2. Manually signed OERs will be placed, unfolded, in an envelope with letter of transmittal and routed in accordance with table H–2 for mailing to HRC (AHRC–PDV–ER) (see app F). Classified reports will be handled as described in paragraph 3–23.

3. Referred OERs will be prepared and referred in accordance with paragraphs 2–15 through 2–17, 3–26, 3–29, and DA Pam 623–3.

(b) DA Form 2166–9 series. The following rules apply:

1. Completed, digitally signed NCOERs, in original format, prepared on the most current form version available in EES, will be routed in accordance with table H–2 and submitted to HQDA using EES to the greatest extent possible.

2. Manually signed NCOERs will be placed, unfolded, in an envelope with a letter of transmittal and sent in accordance with table H–2 and routed in accordance with table H–2 for mailing to HRC (AHRC–PDV–ER) (see app F).

(c) Academic evaluation report.

1. ARNG Soldiers who receive an AER will ensure a copy is sent to the state OPM or EPM office (address in table H–3).

2. Referred AERs will be prepared and referred in accordance with paragraphs 2–16 through 2–18, 3–28, 3–29, and DA Pam 623–3.

d. Enclosures. See paragraph 3–36 for policy on authorized enclosures to evaluation reports.

e. Access to reports. Access to reports at the NGB and state headquarters is limited to HQDA and individuals responsible for maintaining the file or authorized to use it for personnel management purposes. Access to reports at the local level is limited to those having command, administrative, or rating official responsibility for the report.

Table H–3
Joint Forces Headquarters addresses by state

Joint Forces Headquarters (JFHQ) and State	Attention	Mailing Address	City	ZIP Code
JFHQ State of Alabama	OPM/EPM	Post Office Box 3711	Montgomery	36109–0711
JFHQ State of Alaska	OPM/EPM	Post Office Box 5800	Fort Richardson	99505–5800
JFHQ State of Arizona	OPM/EPM	5636 E McDowell Road	Phoenix	85008–3495

Table H–3
Joint Forces Headquarters addresses by state—Continued

Joint Forces Headquarters (JFHQ) and State	Attention	Mailing Address	City	ZIP Code
JFHQ State of Arkansas	OPM/EPM	Camp Robinson	N. Little Rock	72118–2200
JFHQ State of California	OPM/EPM	Post Office Box 269101	Sacramento	95826–9101
JFHQ State of Colorado	OPM/EPM	6848 S Revere Parkway	Centennial	80112–6710
JFHQ State of Connecticut	OPM/EPM	360 Broad Street	Hartford	06105–3795
JFHQ State of Delaware	OPM/EPM	First Regiment Road	Wilmington	19808–2191
JFHQ District of Columbia	OPM/EPM	2001 East Capitol Street, SE	Washington	20003–1719
JFHQ State of Florida	OPM/EPM	St. Francis Barracks, Post Office Box 1008	St. Augustine	32085–1008
JFHQ State of Georgia	OPM/EPM	Post Office Box 17965	Atlanta	30316–0965
JFHQ Guam	OPM/EPM	622 E Harmon Industrial Park Road	Tamuning	96911–4421
JFHQ State of Hawaii	OPM/EPM	3949 Diamond Head Road	Honolulu	96816–4495
JFHQ State of Idaho	OPM/EPM	Post Office Box 45	Boise	83707–0045
JFHQ State of Illinois	OPM/EPM	1301 N MacArthur Boulevard	Springfield	62702–2399
JFHQ State of Indiana	OPM/EPM	2002 S Holt Road	Indianapolis	46241–4839
JFHQ State of Iowa	OPM/EPM	7700 NW Beaver Drive	Johnston	50131–1902
JFHQ State of Kansas	OPM/EPM	2800 SW Topeka Boulevard	Topeka	66611–1287
JFHQ State of Kentucky	OPM/EPM	Boone National Guard Center	Frankfort	40601–6168
JFHQ State of Louisiana	OPM/EPM	Headquarters Building, Jackson Barracks	New Orleans	70146–0330
JFHQ State of Maine	OPM/EPM	Camp Keyes	Augusta	04333–0033
JFHQ State of Maryland	OPM/EPM	5th Regiment Armory	Baltimore	21201–2288
JFHQ State of Massachusetts	OPM/EPM	50 Maple Street	Milford	01757–0001
JFHQ State of Michigan	OPM/EPM	3411 N Martin Luther King Boulevard	Lansing	48906–2934
JFHQ State of Minnesota	OPM/EPM	20 West 12th Street	St. Paul	55155–2098
JFHQ State of Mississippi	OPM/EPM	Post Office Box 5027	Jackson	39296–5027
JFHQ State of Missouri	OPM/EPM	2302 Militia Drive	Jefferson City	65101–1468
JFHQ State of Montana	OPM/EPM	Post Office Box 4789	Helena	59604–4789
JFHQ State of Nebraska	OPM/EPM	1300 Military Road	Lincoln	68508–1090
JFHQ State of Nevada	OPM/EPM	2525 South Carson Street	Carson City	89701–5502
JFHQ State of New Hampshire	OPM/EPM	1 Minuteman Way	Concord	03301–5652
JFHQ State of New Jersey	OPM/EPM	3650 Saylors Pond Road	Fort Dix	08640–7600
JFHQ State of New Mexico	OPM/EPM	47 Bataan Boulevard	Santa Fe	87508–0000
JFHQ State of New York	OPM/EPM	330 Old Niskayuna Road	Latham	12110–2224
JFHQ State of North Carolina	OPM/EPM	4105 Reedy Creek Road	Raleigh	27607–6410
JFHQ State of North Dakota	OPM/EPM	Fraine Barracks, Post Office Box 5511	Bismarck	58502–5511

Table H–3
Joint Forces Headquarters addresses by state—Continued

Joint Forces Headquarters (JFHQ) and State	Attention	Mailing Address	City	ZIP Code
JFHQ State of Ohio	OPM/EPM	2825 W Granville Road	Columbus	43235–2789
JFHQ State of Oklahoma	OPM/EPM	3501 Military Circle NE	Oklahoma City	73111–4398
JFHQ State of Oregon	OPM/EPM	Post Office Box 14350	Salem	97309–6047
JFHQ State of Pennsylvania	OPM/EPM	Department of Military and Veterans Affairs, Building 0–12; Fort Indiantown Gap	Annville	17003–5002
JFHQ Puerto Rico	OPM/EPM	Post Office Box 3786	San Juan	00904–3786
JFHQ State of Rhode Island	OPM/EPM	645 New London Avenue	Cranston	02920–3783
JFHQ State of South Carolina	OPM/EPM	1 National Guard Road	Columbia	29201–4766
JFHQ State of South Dakota	OPM/EPM	2823 West Main	Rapid City	57702–8186
JFHQ State of Tennessee	OPM/EPM	Post Office Box 41502	Nashville	37204–1502
JFHQ State of Texas	OPM/EPM	Post Office Box 5218	Austin	78763–5218
JFHQ State of Utah	OPM/EPM	12953 South Minuteman Drive	Draper	84020–1776
JFHQ State of Vermont	OPM/EPM	Green Mountain Armory	Colchester	05446–3004
JFHQ State of Virginia	OPM/EPM	Building 316, Fort Pickett	Blackstone	23824–6316
JFHQ Virgin Islands	OPM/EPM	RR 2, Box 9925, Mannings Bay, Kingsville	St. Croix	00850–9764
JFHQ State of Washington	OPM/EPM	Camp Murray	Tacoma	98430–5000
JFHQ State of West Virginia	OPM/EPM	1703 Coonskin Drive	Charleston	25311–1085
JFHQ State of Wisconsin	OPM/EPM	Post Office Box 8111	Madison	53708–8111
JFHQ State of Wyoming	OPM/EPM	5500 Bishop Boulevard	Cheyenne	82009–3002

H–16. Processing appeals

Policy and procedures for processing evaluation appeals are in chapter 4. The Chief, NGB is responsible for screening and forwarding all appeals submitted by ARNG members for periods of ARNG service.

H–17. Submission of documents

a. Procedures for processing Commander's or Commandant's Inquiries are as described in chapter 4; however, inquiries will be forwarded as necessary to NGB (NGB–ARP–C), through the state OPM or EPM office (address in table H–3).

b. Appeals will be submitted in memorandum format as discussed in chapter 4. There is no requirement to process appeals through command channels, nor will any element subordinate to NGB establish such a policy. Every attempt will be made to avoid the use of command channels for communications concerning the appeal in order to protect the interest of the command elements, witnesses, and the appellant. Inclusion of the appellant's current home address and phone number will allow for direct contact between appellant and the appeals technician assigned to the case for questions that may arise during the adjudication process. Therefore, appeals that do not include a home address and phone number will be returned without action unless the memorandum of appeal clearly states that the appellant prefers the use of official channels in lieu of direct contact. Any questions concerning actual or anticipated appeals will be addressed to the Appeals Branch, HRC (see app F).

Appendix I

Internal Control Evaluation

I–1. Function

The function covered by this evaluation is the administration of the Army ERS.

I–2. Purpose

The purpose of this evaluation is to assist assessable unit managers, internal control administrator, and test control officers in evaluating the key internal controls outlined. It is not intended to cover all controls.

I–3. Instructions

Answers must be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, simulation, or other). Answers that indicate deficiencies must be explained and the corrective action identified in supporting documentation. These internal controls must be evaluated at least once every 5 years. Certification that the evaluation has been conducted must be accomplished on DA Form 11–2 (Internal Control Evaluation Certification).

I–4. Test questions

a. Are rating chains being established by the commander, commandant, or leader of an organization and maintained by rating officials?

b. Is the rated Soldier participating in counseling, providing and discussing with the rating chain the duty description, performance objectives or academic standards, and/or course requirements with the rater within 30 days after the beginning of each new rating period and at least quarterly thereafter?

c. Is the rater providing a copy of their support form, along with the senior rater's support form, to the rated Soldier at the beginning of the rating period?

d. Are senior raters ensuring rating officials counsel the rated Soldier, individually and throughout the rating period, on meeting their objectives and complying with the professional standards of the Army?

e. Are evaluation reports being submitted in accordance with the requirements outlined in paragraph 3–2?

f. Are rating officials utilizing DA Form 2166–9–1A for NCOs and DA Form 67–10–1A for officers in accordance with the process outlined in DA Pam 623–3?

g. Are local units maintaining copies of submitted classified evaluation reports in accordance with AR 380–5?

h. Are most recent versions of evaluation report forms found in EES being utilized for preparation and submission requirements?

I–5. Supersession

This evaluation replaces the evaluation previously published in AR 623–3, dated 4 November 2015.

I–6. Comments

Help make this a better tool for evaluating internal controls. Submit comments to Commander, U.S. Army Human Resources Command (AHRC–PDV–E), 1600 Spearhead Division Avenue, Department 470, Fort Knox, KY 40122–5407.

Glossary

Section I

Abbreviations

ABCA
authorized abbreviations, brevity codes, and acronyms

ABCMR
Army Board for Correction of Military Records

ADOS
active duty for operational support

ADOS–RC
active duty for operational support–Reserve Component

ADP/ADRP
Army doctrine publication/Army doctrine reference publication

ADS
active duty support

ADT
active duty for training

AER
academic evaluation report

AFME
Armed Forces Medical Examiner

AG
adjutant general

AGR
Active Guard Reserve

ALC
Advanced Leaders Course

AMEDD
U.S. Army Medical Department

AMHRR
Army Military Human Resource Record

AN
Army nurse corps

APFT
Army physical fitness test

APMC
U.S. Army Medical Department Professional Management Command

AR
Army regulation

ARIMS
Army Records Information Management System

ARNG
Army National Guard

ASAP
Army Substance Abuse Program

ASRB
Army Special Review Board

AT
annual training

ATP
Army Techniques Publication

ATRRS
Army Training Requirements and Resources System

BCT
brigade combat team

BDE
brigade

BG
brigadier general

BN
battalion

BOLC
Basic Officer Leaders Course

CAC
common access card

CG
commanding general

CO–ADOS
contingency operations-active duty for operational support

COL
colonel

COLP
promotable colonel

CPL
corporal

CPT
captain

CPTP
promotable captain

CSM
command sergeant major

CW2
chief warrant officer two

CW3
chief warrant officer three

CW4
chief warrant officer four

CW5
chief warrant officer five

DA Form
Department of the Army form

DA Pam
Department of the Army Pamphlet

DC
dental corps

DCCS
deputy commander for clinical services

DCG
deputy commanding general

DCG–OPS
deputy commanding general-operations

DCS
Deputy Chief of Staff

DENTAC
dental health activity

DIMA
drilling individual mobilization augmentee

DoD
Department of Defense

DoDI
Department of Defense instruction

DoDID
Department of Defense identification

DSG
deputy surgeon general

DSN
defense switched network

EEO
equal employment opportunity

EES
Evaluation Entry System

EO
equal opportunity

EPM
enlisted personnel manager

ERS
Evaluation Reporting System

FLEP
Funded Legal Education Program

GPA
grade point average

GS
general schedule

HCAA
Health Care Acquisition Activity

HQDA
Headquarters, Department of the Army

HRC
U.S. Army Human Resources Command

IDT
inactive duty training

IG
inspector general

IMA
individual mobilization augmentee

ING
inactive national guard

IPERMS
Integrated Personnel Electronic Records Management System

IRR
Individual Ready Reserve

JAGC
Judge Advocate General's Corps

JFHQ
Joint Forces Headquarters

LT
lieutenant

LTC
lieutenant colonel

LTCP
promotable lieutenant colonel

MAJ
major

MAJP
promotable major

MC
medical corps

M–DAY
man-day

MEDCEN
medical center

MEDCOM
Medical Command

MEDDAC
medical department activity

MG
major general

MILPER
military personnel

MOS
military occupational specialty

MS
medical service corps

MSG
master sergeant

MSGP
master sergeant promotable

MT
military technician

NCO
noncommissioned officer

NCOER
noncommissioned officer evaluation report

NGB
National Guard Bureau

OCS
Officer Candidate School

OER
officer evaluation report

OGE Form
Office of Government Ethics form

OJT
on-the-job training

OPM
officer personnel manager

OTSG
Office of The Surgeon General

PCS
permanent change of station

PII
personally identifiable information

POI
program of instruction

RC
Reserve Component

REFRADOS
release from active duty for operational support

REFRADOS–RC
release from active duty for operational support–Reserve Component

REFRADT
release from active duty for training

REFRAT
release from annual training

REFRCO–ADOS
release from contingency operations–active duty operational support

RHC
regional health command

RRS–A
Records Retention Schedule–Army

S1
adjutant

SD
special duty

SES
senior executive service

SFC
sergeant first class

SFCP
sergeant first class promotable

SGM
sergeant major

SGT
sergeant

SGTP
promotable sergeant

SHARP
Sexual Harassment/Assault Response and Prevention

SJA
Staff Judge Advocate

SP
specialty corps

SR–Option
Senior Rater Option

SSD–2
structured self-development level 2

SSG
staff sergeant

SSGP
staff sergeant promotable

SSN
social security number

TCS
temporary change of station

TDA
table of distribution and allowances

TDY
temporary duty

TJAG
The Judge Advocate General

TPU
troop program unit

TRADOC
U.S. Army Training and Doctrine Command

UCMJ
Uniform Code of Military Justice

USAF
United States Air Force

USAR
U.S. Army Reserve

USARC
U.S. Army Reserve Command

USAREUR
U.S. Army Europe

USASMA
U.S. Army Sergeants Major Academy

USC
United States Code

USMA
United States Military Academy

USN
United States Navy

VC
veterinary corps

WO1
warrant officer one

WOBC
warrant officer basic course

WOCS
Warrant Officer Candidate School

WTU
Warrior transition unit

1LT
first lieutenant

1SG
first sergeant

2LT
second lieutenant

Section II

Terms

Achieved course standards
When all course requirements have been met and the student has achieved the overall acceptable course standards as identified in the course grading plan.

Appeal
The procedure taken by the rated Soldier or another interested party to correct administrative or substantive type errors for evaluation reports accepted for inclusion in the rated officer's or NCO's AMHRR.

Appointed duties
Additional responsibilities not normally associated with the duty description.

Army competitive category
Regular Army officers in the basic branches. This category does not include the specialty branches of the Chaplain's Corps, JAGC, or the AMEDD.

Attributes
Describes the leaders that the Army wants and how an individual behaves and learns within an environment. The leader attributes are character, presence, and intellect. These attributes represent the values and identity of the leader (character) with how the leader is perceived by followers and others (presence), and with the mental and social faculties the leader applies in the act of leading (intellect). Character—a person's moral and ethical qualities—helps a leader determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. Actions, words, and the manner in which leaders carry themselves convey presence. Presence is not just a matter of showing up; it involves the example that the leader projects to inspire others to do their best and follow their lead. An Army leader's intelligence draws from conceptual abilities and is applied to one's duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment. See also ADP/ADRP 6–22.

Broadening
A purposeful expansion of a leader's capabilities and understanding provided through opportunities internal and external to the Army. Broadening is accomplished across a Soldier's full career through experiences and/or education in different organizational cultures and environments.

Bullet comments
Short, concise, to-the-point comments starting with action words (verbs) or possessive pronoun (their). Bullet comments will not be longer than two lines, preferably one, and no more than one bullet to a line.

Calendar year
A period that is 365 days, or 366 days if the leap year date, 29 February, is included.

Capable
Meets requirements of position and additional duties. Capable of demonstrating Soldier attributes and competencies and frequently applies them; actively learning to apply them at a higher level or in more situations. Aptitude, commitment, competence meets expectations. Actions have a positive impact on unit or mission but may be limited in scope of impact or duration.

Chain of command
The succession of military commanders, superior to subordinate, through which command is exercised. Normally, commanders evaluate commanders.

Chain of supervision
The individuals (military and/or civilian) involved in providing operational, functional, and/or technical supervision of a rated Soldier.

Character
The essence of who a person is, what a person believes, and how a person acts and consists of the internalization of Army Values, empathy, warrior/Service ethos, and discipline attributes. Empathy is identifying and understanding what others think, feel, and believe. Integrity is a key mark of a leader's character. It means doing what is right, legally and morally. Unwaveringly adherence to applicable laws, regulations, and unit standards build credibility with subordinates and enhance trust. Leaders of integrity adhere to the values that are part of their personal identity and set a standard for their followers to emulate.

Class standing
Where a student is ranked on how well they performed against the course standards when compared to other students in the class.

Commandant's list
When all course requirements have been met and the student has demonstrated skill and abilities that scores them in the top 20 percent of all students in the class.

Commander's or Commandant's Inquiry
Investigation into a Soldier's evaluation report made by an official in the chain of command or supervisory chain above the designated rating officials involved in the allegations to determine if an illegality, injustice, or regulatory violation has occurred. The appointing official for a Commander's or Commandant's Inquiry into an OER will normally be the commander, commandant, or civilian supervisor who rates the senior rater. The appointing official for an NCOER will normally be the commander, commandant, or civilian supervisor who rates the senior rater.

Complete the record
An optional evaluation report intended to update a Soldier's file with performance and potential information that has not previously been documented in the Soldier's evaluation history since the time of the most recent evaluation report. MILPER messages clearly specify the criteria for "Complete the Record" reports ("Thru" date and required receipt date at HQDA).

Core leader competencies
Leader competence develops from a balanced combination of institutional schooling, self-development, realistic training, and professional experience. Competencies provide a clear and consistent way of conveying expectations for Army leaders. Current and future leaders want to know how to be successful leaders. The core leader competencies apply across all levels of leader positions and throughout careers, providing a good basis for evaluation. A spectrum of leaders and followers (superiors, subordinates, peers, and mentors) can observe and assess competencies demonstrated through behaviors. See also ADP/ADRP 6–22.

Credible profile
A properly managed assessment profile able to maintain a rating officials original box check selection as annotated on a completed evaluation report due to compliance with established HQDA governed assessment profile limitations.

Distinguished graduate
When all course requirements have been met and the rated student has demonstrated skills and abilities that ranks them in the top 10 percent of all students in the class.

Distinguished performance
Students who demonstrate skills extraordinarily above the standards of course.

Dual supervision
A situation in which an officer or warrant officer who, during the entire period of evaluation, is assigned separate responsibilities and receives supervision from two different chains of command or supervision. This provision does not apply to NCO rating schemes, NCOERs, or AERs.

Energy–informed actions
Actions which improve energy performance through techniques, behaviors, and organizational culture by integrating operational energy considerations into planning, requirements development, acquisition, construction, operations, research, development, technology and evaluation, reporting, and management programs.

Enrolled student
A student meeting all course entry requirements, officially registered in ATRRS with an enrolled code and begins the execution of a course syllabus or POI.

Evaluation report timeliness
A resulting equation (percentage of reports submitted on time) that is correlated to individual senior raters on those reports and reflects submission to HQDA within regulatory guidelines.

Excels box check selection (OER)
Results far surpass expectations. The officer readily (fluently/naturally/effortlessly) demonstrates a high level of all attributes and competencies. Recognizes and exploits new resources; creates opportunities. Demonstrates initiative and adaptability even in highly unusual or difficult situations. Emulated; sought after as expert with influence beyond unit. Actions have significant, enduring, and positive impact on mission, the unit and beyond. Innovative approaches to problems produce significant gains in quality and efficiency.

Failed to achieve course standards
Students that fail to meet course requirements as identified in the course grading plan.

From date
The beginning date of the period covered; the day following the "Thru" (ending) date of the previous evaluation report period.

Graduate box check selection (AER)
When all course requirements have been met and the rated student has achieved the overall acceptable course standards as identified in the course grading plan.

Headquarters, Department of the Army electronically generated label
A label placed over the rater's overall performance box and senior rater's potential box check on an OER and NCOER. This label is used for OERs for officers (2LT through COL), warrant officers (WO1 through CW4), and NCOERs (SSG through CSM). It shows a comparison of the block check on the OER and NCOER to all box checks for a given grade in a rater and senior rater's profile and rater tendency on NCOERs. For DA Form 1059 and 1059–2, a label will be placed over the reviewing officials "Overall Academic Achievement" box check on DA Form 1059 and "Overall Academic Achievement" and "Potential" box check on DA Form 1059–2. The label displays the reviewing official's box check assessment and service school class standing, as applicable, at the time the DA Form 1059 or DA Form 1059–2 is received at HQDA for processing. It also verifies that DA Form 1059 or DA Form 1059–2 received has been reviewed officially by HQDA prior to becoming a matter of official record in a Soldiers AMHRR. This does not apply to DA Form 1059–1.

Intermediate rater
A supervisor in a rated officer's chain of command or supervision between the rater and senior rater. This level of supervision may be in the rated officer's organization or in a separate organization if under dual supervision.

Leadership
Influencing others to accomplish the mission. It consists of applying leadership attributes (beliefs, values, ethics, character, knowledge, and skills). It includes setting tough but achievable standards and demanding that they be met, caring deeply and sincerely for subordinate Soldiers and Civilian employees and their Families and welcoming the opportunity to serve them, conducting counseling, setting the example by word and act or deed, can be summarized by attributes and competencies as exhibited on the OER and NCOER, able to instill the spirit to achieve and win, and inspiring and developing excellence. A Soldier who is cared for today is a Soldier who leads tomorrow.

Misfire
When the percentage of "Most Qualified," "Multi-Star Potential," and/or "Promote to BG" assessments in a senior rater's profile meets or exceeds the authorized percent established of the total number of OERs or NCOERs for a particular grade. This does not apply to AERs.

Non–Graduate
When the student fails to meet course requirements as identified in the course grading plan.

Nonrated time
Time periods when the rated Soldier cannot be evaluated by the rating officials. Such time periods include but are not limited to school attendance, in-transit travel, hospitalization or patient status, convalescent leave, leave periods of 30 days or more, and periods when the rater has not met minimum qualifications. Periods such as breaks in service or time spent in an IRR, Ready Reserve, or ING status are not ratable periods; therefore, these periods will appear as gaps in a rated Soldier's evaluation report history.

Performance counseling
Planned method to inform Soldiers about their duties and expected performance standards and provide feedback on actual performance. Soldiers' performance includes appearance, conduct, mission accomplishment, and the manner in which duties are carried out. Honest feedback lets Soldiers know how well they are performing compared to the expected standards.

Performance evaluation
Assessments of how well the rated Soldier met their duty requirements and adhered to Army professional leadership standards. Performance is evaluated by observing a rated Soldier's actions, demonstrated behavior, and results in terms of adherence to the Army Leadership Requirements Model and their responsibilities (see ADP/ADRP 6–22). Due regard is given to the experience level of the rated Soldier, efforts made, and results achieved.

Performed to standards
Student who achieved the overall acceptable course standards as identified in the course grading plan.

Period of report
Time period covered by an evaluation report, which includes rated and nonrated time. The period begins the day following the "Thru" (ending) date of the most recent evaluation report and ends on the day of the event causing the current report to be rendered or the last day of supervision or duty day before a Soldier's departure.

Physical fitness
Physical fitness is the physical and mental ability to accomplish the mission; that is, combat readiness. Total fitness includes weight control, diet and nutrition, smoking cessation, control of substance abuse, stress management, and

physical training. It covers strength, endurance, stamina, flexibility, speed, agility, coordination, and balance. Soldiers are responsible for their own physical fitness and that of their subordinates.

Pooling
Elevating the rating chain beyond the senior rater's ability to have adequate knowledge of each Soldier's performance and potential, in order to provide an elevated assessment protection for a specific group, runs counter to the intent of the evaluation system. This may include improper rating chain structure and/or improper use of an intermediate rater when one is not required.

Potential evaluation
An assessment of the rated Soldier's ability, compared with that of other Soldiers of the same grade, to perform in positions of greater responsibility and/or higher grades.

Proficient
Consistently produces quality results with measurable improvement in unit performance. Consistently demonstrates a high level of performance for each attribute and competency. Proactive in challenging situations. Habitually makes effective use of time and resources; improves position procedures and products. Positive impact extends beyond position expectations.

Rated Soldier
A rated officer, warrant officer, or NCO.

Rated time
Time when a rated Soldier has been assigned under a valid rating chain for the purposes of counseling, guidance, and evaluation of performance and potential.

Rater
First-line supervisor of the rated Soldier who is designated as the rater on the rating scheme. Primary role is that of evaluating, focusing on performance, and performance counseling. Conducts face-to-face performance counseling with the rated Soldier on duty performance and professional development within the first 30 days of each rating period and, for a majority of Soldiers, at least quarterly thereafter; for others, periodically as needed.

Rater profile report
For OERs only, a documented rating history compiled at HQDA; it displays the rater's rating history by grade.

Rater profile restart
For OERs only, the deletion of an established rating history for all grades or a specific grade or grade grouping, if the rater meets all requirements for a restart. When accomplished, a new rating history (profile) is structured based on OERs rendered following the restart.

Rater tendency report
For raters of NCOs only, a documented rating history compiled at HQDA; it displays the rater's rating assessment history, by grade, of previous NCOs rated.

Rater tendency restart
For NCOERs only, the deletion of an established rating history for all grades, or a specific grade, or grade grouping, if the rater meets all requirements for a restart. When accomplished, a new rating history (tendency) is structured based on NCOERs rendered following the restart.

Rating chain
The rated Soldier's rating officials (rater, senior rater, and supplementary reviewer) as published on the rating scheme. For officer evaluations only, for specialty branches and dual supervisory situations, an intermediate rater may be placed on a published rating scheme.

Rating officials
Designated individuals (rater, intermediate rater, and senior rater) as published on the rating scheme who render an evaluation on the rated Soldier.

Rating scheme
Written, published document showing rated Soldiers, their rating officials, and the effective date on which the rating officials assumed their role.

Redress
Procedures by which rated Soldiers can address errors, bias, or injustices during and after the preparation of an evaluation report and have them corrected.

Referral
The process of formally providing a completed evaluation report to a rated Soldier for review and acknowledgment. Referral is accomplished by the senior rater. This procedure ensures the rated Soldier is advised they are permitted to comment on adverse information contained in the evaluation or addenda before it becomes a matter of permanent record. The referral may be accomplished face-to-face, but a written referral method is recommended when the Soldier is not present to accomplish the process in person. This provision does not apply to NCOERs, however it is applicable to NCOER addenda processes.

Relief
The removal of a rated Soldier from an assigned position based on a decision by a member of the Soldier's chain of command/supervisory chain that their personal or professional characteristics, conduct, behavior, or performance of duty warrant their removal from the position in the best interests of the U.S. Army. Relief actions require the completion of a "Relief for Cause" OER or NCOER. A relieved officer or NCO cannot prepare or submit an evaluation report on their subordinates during the suspension period leading up to the relief or after the relief is final.

Senior rater
Normally, the second-line rating official who is in the direct line of supervision of the rated Soldier and senior to the rater by either pay grade or date of rank. Primary role is evaluating and focusing on the potential of the rated Soldier; responsible for providing a performance/potential assessment (as applicable) of the rated Soldier. Obtains the rated Soldier's signature on the evaluation report or enters appropriate statement if rated Soldier refuses, is unable, or unavailable to sign. For OERs, performs the referral of reports with negative or derogatory comments to rated officers; the third-line supervisor when an intermediate rater exists in the chain of command or supervision.

Senior rater profile report
For OERs and NCOERs, a documented rating history compiled at HQDA; it displays the senior rater's rating history by grade. Also known as the Dash-2 report and accompanied by the Senior Rater Evaluation Timeliness report.

Senior rater profile restart
For OERs and NCOERs, the deletion of an established rating history for all grades or a specific grade or grade grouping, if the senior rater meets all requirements for a restart. When accomplished, a new rating history (profile) is structured based on evaluation reports rendered following the restart.

Superior academic achievement
When all course requirements have been met and the student has demonstrated skills and abilities that scores them in the top 21 to 40 percent of all students in class.

Superior graduate
When all course requirements have been met and the student has demonstrated skills and abilities that scores them in the top 11 to 30 percent of all Soldiers in the class.

Superior performance
Students whose overall course achievement is above standards of the course.

Supplementary reviewer
a. For OERs, the senior rater typically conducts the final review of the evaluation report and the reporting process. However, when there is no uniformed Army designated rating official for the rated officer, "Relief for Cause" evaluation reports when the senior rater is the individual directing the relief, or if the relief has been directed by an individual other than the rating officials, an additional review is required by a uniformed Army advisor within the organization above the rating chain.
b. For NCOERs, in instances when a rated NCOs senior rater is a SGM/CSM, CW3 through CW5, or an Army officer in the rank of CPT or above, the senior rater will conduct the final rating chain review. However, NCOERs including a senior rater in the rank of SFC through 1SG/MSG, WO1 through CW2, and 2LT and 1LT require a mandatory supplementary review by a uniformed Army advisor, senior to the senior rater, in the rank of SGM/CSM, CW3 through CW5, or an Army officer in the rank of CPT or above. Additionally, mandatory supplementary reviews are required when there is no uniformed Army designated rating official for the rated NCO, for "Relief for Cause" evaluation report when the senior rater is the individual directing the relief, or for when the relief has been directed by an individual other than the rating officials.

Suspension
The temporary removal of the rated Soldier from their duty position pending a final decision on an adjudicated issue. The period of suspension will be shown as nonrated time on the evaluation report. The suspended Soldier cannot prepare or submit an evaluation report on their subordinates during the time they are suspended.

Thru date
The ending date of the period covered on an evaluation report, the due date for an annual evaluation report, the date on which an event warranting a report to be rendered occurs, or the last day of supervision or last duty day before a Soldier's or a rating official's departure.

Training
Preparing Soldiers, units, and combined arms teams to perform assigned duties; also teaching Soldiers skills and knowledge. Army leaders contribute to team training and are often responsible for unit training (squads, crews, and sections), but individual Soldier training is the most important. Quality training bonds units, leads directly to good discipline, concentrates on wartime missions, is tough and demanding without being reckless, is performance oriented, and sticks to Army doctrine to standardize what is taught to fight, survive, and win as small units. Good training means learning from mistakes and allowing plenty of room for professional growth. Sharing knowledge and experience is the greatest legacy one can leave subordinates.

Uniformed Army advisor
a. For OERs, an Army officer, senior to the rated officer within a unit or organization, normally senior to the designated senior rater, who provides assistance and advice to rating officials (as required) pertaining to U.S. Army evaluations. This includes, but is not limited to, ensuring non-uniformed Army rating officials provide clear, concise, and effective written communication, focused on the rated officer's career and professional development, which allows effective decision making by HQDA. Uniformed Army advisors perform supplementary reviews (as required).
b. For NCOERs, a SGM/CSM, CW3 through CW5, or an Army officer in the rank of CPT or above, senior to the designated senior rater within the rated NCO's organization, designated in the NCOs rating chain. This includes, but is not limited to, ensuring non-uniformed Army rating officials provide clear, concise, and effective written communication, focused on the rated NCO's career and professional development, which allows effective decision making by HQDA. Uniformed Army advisors perform supplementary reviews (as required).

Unit
The actual military unit, organization, or agency to which the rated Soldier was assigned and performed duty during the rating period.

Values or Army Values
Army Values consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and Army Civilians make the right decision in any situation. Teaching values is an important leader responsibility by creating a common understanding of the Army Values and expected standards. The Army recognizes seven values that all Army members must develop (loyalty, duty, respect, selfless service, honor, integrity, personal courage).