

*Superseded by 10 August 2007*

Army Regulation 623-3

**REFERENCE**

Personnel Evaluation

# **Evaluation Reporting System**

Headquarters  
Department of the Army  
Washington, DC  
15 May 2006

**UNCLASSIFIED**

# **SUMMARY of CHANGE**

AR 623-3  
Evaluation Reporting System

This new regulation, dated 15 May 2006--

- o Removes Personnel Services Battalion functions from processing requirements and no longer requires its initials on a final DA Form 67-9 or DA Form 2166-8.
- o Updates appendix E covering Army Medical Department officer evaluation reports.
- o Throughout the document, clarifies when a report is considered completed at the unit level and final processing at Headquarters, Department of the Army.
- o Retains Evaluations Reporting System policy in the regulation and moves procedures into DA Pamphlet 623-3.
- o Streamlines and coordinates policy among DA Forms 67-9 (Officer Evaluation Report), 2166-8 (NCO Evaluation Report), and 1059 (Service School Academic Evaluation Report) (para 1-1).
- o Updates process for changing evaluations policy from an automated and rigid stepped system of policy relaxation based on mobilization phases to a more flexible process, as contained in the appropriate personnel policy guidance (para 1-13).
- o Changes DA Form 1059 processing (chap 2, sec II, and paras 3-37, 3-52).
- o Changes requirements for rating officials (paras 2-4 and 2-19).
- o Changes policy on specific assessment items and report types (paras 3-2b(1), 3-2g(1), 3-4, 3-13 3-58).
- o Maintains the noncommissioned officer evaluation report counseling philosophy, but redesigns the counseling form and process (para 3-4).
- o Adds to and changes administrative information and layout on DA Forms 67-9 and DA Form 2166-8 and the support forms (para 3-3).
- o Requires that safety objectives and/or tasks be developed for every officer and noncommissioned officer as one element of the support form/counseling requirements (para 3-4c(5)(d)(3)).
- o Changes administrative information on both AERs (DA Form 1059 and DA Form 1059-1 (Civilian Institution Academic Evaluation Report)) (paras 3-35, 3-36).

- o Maintains basic evaluation philosophy from previous regulations and accommodates new systems for collecting and delivering evaluation content from and among organizational users and Headquarters, Department of the Army (para 3-37).
- o Accommodates capabilities of a new forms method (producing and routing), the Forms Content Management Program (para 3-37).
- o Adds requirement to use only forms and forms creation applications or programs authorized by Army Publishing Directorate (para 3-37).
- o Changes the noncommissioned officer evaluation process (paras 3-37f(2) and (3)).
- o Provides a process for use of electronic approvals (digital signatures) using applications approved for the Army by Army Publishing Directorate in forms templates and forms producing applications (para 3-37f(7)(b)).
- o Removes Academic Evaluation Reports (DA Form 1059 and DA Form 1059-2) from an individual's evaluation history (para 3-52).



Personnel Evaluation  
Evaluation Reporting System

By Order of the Secretary of the Army:

PETER J. SCHOOMAKER  
General, United States Army  
Chief of Staff

Official:

  
JOYCE E. MORROW  
Administrative Assistant to the  
Secretary of the Army

**History.** This publication is a new regulation.

**Summary.** This regulation prescribes the policies and tasks for the Army's Evaluation Reporting Systems. These include reporting systems for officers and non-commissioned officers and academic performance and potential. It includes policy statements, operating tasks, and rules in support of operating tasks.

**Applicability.** This regulation applies to the Active Army, the Army National Guard/Army National Guard of the United States, the U.S. Army Reserve, Department of the Army civilians, military members and civilians of other U.S. Armed Forces, other U.S. Government officials,

and allied forces that function as rating officials, unless otherwise stated. This regulation applies during mobilization in conjunction with Personnel Policy Guidance published for each operation and issued by Headquarters, Department of the Army.

**Proponent and exception authority.**

The proponent for this regulation is the Deputy Chief of Staff, G-1. The Deputy Chief of Staff, G-1 has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The Deputy Chief of Staff, G-1 may delegate this approval authority to a division chief within the proponent agency or a direct reporting unit or field operating agency of the proponent agency in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and will include 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 management control process.**

This regulation contains management control provisions in accordance with Army Regulation 11-2, but does not identify

key management controls that must be evaluated.

**Supplementation.** Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from Deputy Chief of Staff, G-1 (DAPE-ZA), 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, US Army Human Resources Command (AHRC-MSE), 200 Stovall Street, Alexandria, VA 22332-0442.

**Distribution.** This publication is available in electronic media only and is intended for command levels A, B, C, D, and E for the Active 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 623-1, dated 31 March 1992; AR 623-105, dated 17 December 2004; and AR 623-205, dated 15 May 2002; and rescinds DA Form 1059-2 (Senior Service College Academic Evaluation Report).

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## **Glossary**



## Chapter 1 Introduction

### Section I Overview

#### 1-1. Purpose

*a.* This regulation prescribes the policies for completing evaluation reports that support the Evaluation Reporting System (ERS). This includes DA Form 67-9 (Officer Evaluation Report) (OER), DA Form 2166-8 (NCO Evaluation Report) (NCOER), and DA Form 1059 (Service School Academic Evaluation Report (AER). It is linked to Army Regulation (AR) 600-8 and provides principles of support, standards of service, and policies governing all work required, to include Army evaluations policies and guidance regarding redress programs, including Commander Inquiries and appeals. Procedures, tasks, and steps pertaining to the completion of each evaluation report are contained in Department of Defense Pamphlet (DA Pam) 623-3.

*b.* Requests for clarification or exceptions to policies will be sent to Army Human Resources Command (HRC)(AHRC-MSE), 200 Stovall Street, Alexandria, VA 22332-0442.

#### 1-2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

#### 1-3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

#### 1-4. Responsibilities

*a.* The Commanding General (CG), U.S. Army Human Resources Command (USA HRC) will—

(1) Act as executive agent for the Secretary of the Army and is responsible for the effective operation of the ERS.

(2) Exercise final review authority on all evaluation reports received at Department of the Army (DA). This includes—

(*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 an individual 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 or recommendations. These will be attached to the report or otherwise disposed of as the CG, USA HRC deems appropriate.

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

(4) Clarify policies, grant exceptions to policies, or formulate new policies, as the need arises.

(5) Dispose of Commander's Inquiries conducted in accordance with chapter 6, and the subject evaluation, as deemed appropriate.

*b.* Commanders at all levels will ensure that—

(1) A copy of this regulation is available to the rated Soldier and rating officials.

(2) Each rating official is fully qualified to meet their responsibilities.

(3) Reports are prepared by the individuals named in the published rating chain.

(4) Rating chains correspond as nearly as practical to the chain of command and supervision, are drawn up by name, given effective dates, published, and made available to each rated Soldier and each member of the rating chain. Any changes to rating chains will also be published and distributed. No changes may be retroactive.

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

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

(7) Each rating official knows how the subordinates which they evaluate have performed.

(8) Each senior rater, (and supplementary reviewer, if any) understands that they will provide their support form to rated Soldiers and examine the entries on the evaluation reports to ensure that objectivity and fairness have been maintained. When doing so, they will keep in mind the interests of both the Army and the rated Soldier. The senior rater will also understand that if they note discrepancies, corrections must be made.

(9) Each rated Soldier is provided a copy of their rater's and senior rater's support forms at the beginning of the rating period and the rated Soldier's completed evaluation report at the end of the rating period.

(10) If applicable, referred reports (OER and AER only) are provided to the rated Soldier for acknowledgment or comment before being sent to Headquarters, Department of the Army (HQDA). This also applies to an OER addendum containing unfavorable information and submitted under the provisions of chapter 3. In such instances, commanders will ensure that the rated officer understands their comments do not constitute an OER appeal or request for Commander's/Commandant's Inquiry.

(11) Each rating official is fully qualified to meet their responsibilities.

(12) Reports are prepared by the rating officials designated in the published rating scheme.

(13) Soldiers have access to or are provided a copy of their completed evaluation report.

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

(15) Completed OER reports arrive at HQDA not later than 90 calendar days and completed NCOER reports arrive at HQDA not later than 60 calendar days after the THRU date of the report for Active Duty evaluations, 120 days for the U.S. Army Reserve (USAR) and ARNGUS evaluations (see appendix F for addresses). The importance of the evaluation report to many personnel actions, especially those involving DA selection boards, requires that this suspense be met.

(16) The duties described in chapter 6 are performed when a report rendered by one of their subordinates appears illegal, unjust, or otherwise in violation of this regulation.

(17) Clarification of policies, exceptions to policies, or new policies are requested from the Commander (CDR), USA HRC and his or her attention is brought to situations that—

(a) Are not clearly and adequately covered by this regulation.

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

#### **1-5. Manpower resources**

The evaluation function is the responsibility of the Brigade S-1 (BDE S-1), Battalion S-1 (BN S-1), or unit personnel administration office, as well as the rating officials, rated Soldiers and Headquarters, Department of the Army (HQDA). Manpower officials will use the workload factors (obtained in Manpower Staffing Standards Systems) to determine the manpower authorizations.

#### **1-6. Levels of work**

a. The focus of this regulation is on the rating chain's adherence to ERS requirements at any level as supported by a human resources manager.

b. Senior raters of OERs and NCOERs, or the senior rater's representative, regardless of component (Active, USAR, or ARNGUS) are required to assure compliance with standards of preparing and forwarding evaluations prescribed by the regulation or DA Pam 623-3.

c. The appropriate authenticating official, commandant, or civilian academic official is required to assure compliance with standards of preparing and forwarding AERs as prescribed by the regulation or DA Pam 623-3.

### **Section II**

#### **Principles and Standards**

#### **1-7. Principles of support**

The military personnel system will—

a. Evaluate the performance and potential of officers warrant officer 1 (WO1) through major general (MG) in peacetime and wartime.

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

c. Evaluate the performance and compliance of Soldiers during Department of Defense (DOD), Civilian Educational, Medical or Industrial Institution programs.

d. Support the Army's personnel professional development life-cycle function.

#### **1-8. Standards of service**

a. *ERS overview.*

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

(2) What and Why: The ERS is a robust entity with major elements of counseling, assessment, documentation, and integration with other personnel functions. The ERS has several formal functions which are explained in subsequent paragraphs in detail.

(a) While the day-to-day execution is not always flexible, the ERS will remain effective and relevant on a larger scale.

(b) It will always meet the needs of the Army, of rating officials, and of rated Soldiers in their current environment.

(c) It will be poised for the future—the ERS will change as that environment changes. But the basic foundation is consistent—evaluate today's Soldier to select and develop tomorrow's leaders.

(d) Today, rating officials make assessments of performance and potential against a standard – Army values, the Army's leadership doctrine framework, the organization's mission, and a Soldier's particular set of duties, responsibilities, tasks, and objectives using a series of box checks, narratives, bullet comments, and evaluation rating techniques.

(e) Tomorrow, those standards or techniques may change. However, the ERS will continue to be the most accurate and effective assessment tool and development system possible at this moment. At all times it will remain synchronized with Army doctrine and a multitude of personnel functions (themselves adapting and transforming to new conditions and environments).

(f) The ERS will accomplish its mission. Most importantly, the ERS is not merely a set of forms, requirements, and processes. These words describe the means and methods for execution of what is at the heart of this subject—developing people and leaders.

(g) The ERS must work instilling Army Values, infusing the Warrior Ethos into our labors, and inspiring individual and unit commitment to protect and serve our Nation. The people most affected are Soldiers who receive evaluations, Soldiers and civilians who serve as rating officials, and Soldiers, civilians, contractors, and family members who know, are positively impacted, developed, or otherwise individually benefited by the leadership of a future generation of Soldiers in the evaluation circle and being selected or assigned to positions and ranks of increased responsibility today.

(h) This circle expands to include other members of the Armed Forces, citizens in local communities and in host nations, and federal and nongovernmental organizations and those who know Soldiers by reputation only.

(i) It is easy to speak of "getting an OER" or "giving an NCOER," but it is hard work to execute the leadership, the involvement, the developmental counseling, and the personal relationships necessary for an effective ERS. Fortunately, the rewards at the end—a Soldier, a unit, a team—serving the Nation in a relevant and ready force make that hard work worth the effort.

(3) Under the ERS, a Soldier is evaluated on his or her performance and potential. In this system, three kinds of evaluations exist:

(a) *Performance evaluations.* The applicable evaluation is either the DA Form 67-9 or DA Form 2166-8.

(b) *School evaluations.* The two AERs are DA Form 1059 for military institutions or DA Form 1059-1 for civilian institutions

*Note.* Evaluated time reported on academic evaluations is counted as nonrated time on OERs and NCOERs.

(c) *DA evaluations.* Selection boards and personnel management systems will be used for these evaluations. Duty and school evaluations are single time-and-place evaluations which are used when making DA evaluations. DA evaluations cover the Soldier's entire career and personnel file. DA evaluations will focus on a Soldier's potential. There are judgments on their ability to perform at current and higher grades, and they are also made to judge whether Soldiers will be retained and given greater responsibility in their present grade. In making DA evaluations, three factors will be considered:

1. *Army requirements for Soldiers.* Army requirements for Soldiers frequently change. At times, the Army has a need for leaders with certain backgrounds, experience, and expertise. The size of the Army 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. Thus, a leader's potential is partially determined by how they compare with their peers.

2. *Duty performance.* Performance of duty is an extremely important factor in determining a leader's potential. Duty performance is judged by how well a Soldier performs assigned tasks and how well each meets Army professional values uniquely established for each respective corps.

3. *Leader qualifications.* Qualifications are required to maintain outstanding leaders of troop or technical units, supporting staff managers, and technical specialists. There are different skills and backgrounds required by different specialties. A Soldier's individual progress through specialized fields to positions of greater responsibility is a consideration, as well as length of service, civil schooling, military schooling, or other unique skills required by the Army.

b. *ERS principles.*

(1) The ERS largely determines the quality of the Soldier, the selection of future Army leaders, and the course of their individual career. It supports many current Army and Joint personnel management programs.

(a) The OER, NCOER, and AER ensure that an individual leader's specialties are considered along with the specialty requirements of their duty position when they are evaluated.

(b) The emphasis on senior/subordinate communication supports the Army's "people-oriented programs." It is intended to focus attention on constructive problem solving and the importance of sound working relationships.

(2) ERS is a multifunctional system with a basic structure that will—

(a) Allow the rater to give shape and direction to the rated Soldier's performance.

- (b) Provide a chain-of-command or supervision evaluation of an individual Soldier's performance and potential.
- (c) Allow the entire evaluation reporting process to be reviewed.

*c. ERS functions.*

(1) The primary function of ERS is to provide information to HQDA for use in making personnel management decisions. This information is supplied to HQDA by the rating chain in the Soldier's assigned or attached organization. Components of this information include—

(a) Evaluation reports, which will 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. Each report will be a thoughtful, fair appraisal of a Soldier's ability and potential. Reports that are incomplete or fail to provide a realistic and objective evaluation will make personnel management decisions difficult.

(b) Strengthening the ability of the Army to meet the professional challenges of the future through the indoctrination of Army values and basic Soldier responsibilities. The continued use of Army values and Soldier responsibilities as evaluation criteria will provide and reinforce a professional focus for the rating chain's view of performance. Over time, this will result in acceptance of the values and Soldier responsibilities, better performance, and stronger Army leaders.

(c) Being part of a "whole file" concept and continuous growth philosophy. A single report will not, by itself, determine a Soldier's Army career. An appraisal philosophy that recognizes continuous professional development and growth (rather than one that demands immediate, uncompromising perfection) will best serve the Army and the rated Soldier.

(d) Ensuring the selection of the best qualified Soldiers to serve in positions of increasing responsibility by providing rating chain view of performance/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, command sergeant major (CSM) designation, and qualitative management.

(2) The secondary function of ERS is to encourage leader professional development and enhance mission accomplishment, to include—

(a) Stressing the importance of sound senior/subordinate relationships. It also stresses the importance of setting standards and giving direction to the performance of subordinate officer and noncommissioned officer leaders. Properly used, ERS can be a powerful leadership and management tool for the rating chain.

(b) Contributing to Army-wide improved performance and professional development by increased emphasis on performance counseling. Evaluation reports will provide the rated Soldier formal recognition for performance of duty, measurement of professional values and personal traits, and along with the required support forms is the basis for performance counseling by rating officials. Senior/subordinate communication is necessary to maintain high professional standards and is key to an effective evaluation system.

(c) Senior/subordinate communication, to make career development information, advice, and guidance readily available to the rated officer or NCO. This is necessary to maintain high professional standards.

*d. ERS process.*

(1) Officer rating officials will use DA Form 67-9; DA Form 67-9-1; DA Form 67-9-1a (Developmental Support Form (DSF)); and the electronically generated DA Form 67-9-2 (Senior Rater Profile Report).

(2) NCOs and appropriate rating officials use DA Form 2166-8 and DA Form 2166-8-1 (NCOER Counseling and Support Form).

(3) The rating period, development of support forms and counseling will support a final evaluation:

(a) The evaluation process will start before the rating period, when the rated Soldier's rating chain is established. AER rating chains will be established by the appropriate school or unit admin with oversight to ensure adequate evaluation.

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

*e. Counseling.* Counseling will be conducted within 30 days after the beginning of the rating period and quarterly thereafter for NCOs, WO1s, chief warrant officers 2 (CW2s), lieutenants (LTs) and captains (CPTs). Quarterly counseling for all other ranks will be on an as-needed basis. It develops a duty description for the Soldier and major performance objectives to accomplish during the rating period. It will also be used to guide the rated leader's performance during the early part of the rating period.

*f. Rating chain process.* Procedures in DA Pam 623-3 for each form explain what information is requested and how rating officials can complete the process from counseling to HQDA submission. Support forms and evaluations will reflect the rating officials published in the official rating scheme (see para 2-3).

## Section III Special Circumstances

### 1-9. Performance and potential evaluations

a. Army evaluation reports are assessments on how well the rated Soldier met duty requirements and adhered to the professional standards of the Army officer or noncommissioned officer corps. Performance will be evaluated by observing action, demonstrated behavior, and results from the point of view of the values, leadership framework and responsibilities identified on the evaluation forms, counseling forms, and as explained in DA PAM 623-3. Consideration will be given to the following:

- (1) The relative experience of the rated officer or NCO.
- (2) The efforts made by the rated officer or NCO.
- (3) The results that could be reasonably expected given the time and resources available.

b. Potential evaluations will be performance-based assessments of the rated officers or NCOs of the same grade to perform in positions of greater responsibility and/or higher grades. Assessment of potential will apply to all officers and NCOs, regardless of their opportunity to be selected for higher positions or grades and ignores such factors as impending retirement or release from active duty; this assessment is continually changing and is reserved for HQDA.

### 1-10. Changes to an evaluation report

Except to comply with this regulation and corresponding pamphlet (DA Pam 623-3), no person may require changes be made to an individual's OER, NCOER, or AER. Members of the rating chain, the appropriate administrative personnel office, or HQDA will point out obvious inconsistencies or administrative errors to the appropriate rating officials. After needed corrections are made, the original forms, with authenticated signatures, will be sent to the appropriate HQDA processing office (see appendix F) or State Adjutant General (AG).

### 1-11. Commander's/Commandant's Inquiry

When it is brought to the attention of a commander or commandant that a report rendered by a subordinate or by a member of a subordinate command may be illegal, unjust, or otherwise in violation of this regulation, that commander will conduct an inquiry into the matter. The commander's inquiry will be confined to matters related to the clarity of the evaluation report, the facts contained in the report, the compliance of the evaluation with policies 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 be changed; command influence may not be used to alter the honest evaluation of a rated Soldier by a rating official. The results of the Commander's Inquiry, however, may be provided to the rating chain and the rated Soldier at the appointing official's discretion. The procedures used by the commander or commandant to process such an inquiry are described in chapter 6.

### 1-12. Access to reports

Access to Army evaluation reports at HQDA is limited to 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 persons having command, administrative, or rating official responsibility for the individual report.

### 1-13. Mobilization

Definitions of the categories of mobilization are found in Joint Publication 1-02. Policy changes and implementing instructions because of different stages of mobilization or deployments will be released by HQDA as part of the Personnel Planning Guidance. Examples of such possible policy changes include changes to minimum qualification times for raters, additional options for reports, optional use of support forms, acceptance of handwritten documents, or a delayed extended appeals process.

### 1-14. Privacy Act statement

a. *Authority.* The authority for the Privacy Act for evaluations are Section 301, Title 5, United States Code (5 USC 301) and 10 USC 3013.

b. *Purpose.* Evaluations will serve as the primary source of information for officer and enlisted personnel management decisions and will serve as a guide for the Soldier's performance and development, enhance the accomplishment of the organization mission, and provide additional information to the rating chain.

c. *Routine use.* Evaluations will be maintained in the rated Soldier's official military personnel file (OMPF). A copy will be either given directly to the rated Soldier or sent to a forwarding address.

d. *Disclosure.* Disclosure of the rated Soldier's Social Security number (SSN) is voluntary. Failure to verify the SSN may result in a delayed or erroneous processing of the evaluation report.

## Chapter 2 The Rating Chain

### Section I Managing the Rating Chain

#### 2-1. Overview

This chapter governs the purpose and development of rating chain qualifications and special evaluation requirements.

#### 2-2. Fundamentals

Commanders will establish and file rating chains in accordance with locally developed procedures and Army and DOD regulations. Rating chains will correspond as nearly as practicable to the chain of command and supervision within an organization, regardless of component or geographical location. They will be established by name, given effective dates, published, and distributed manually or electronically to each rated officer, NCO, and civilian member of the rating chain. Any changes to rating chain will also be published and distributed as required. No changes may be retroactive.

#### 2-3. Rating chain information

*a.* A rating chain is established by commanders or commandants and maintained by rating officials to provide the best evaluation of an individual Soldier's performance and potential. A rating chain also ties rated individual performance to a specific senior and/or subordinate relationship. This allows for proper counseling to develop the rated Soldier accomplish the mission. These functions are best achieved in an organization's chain of command.

*b.* Generally, the evaluation of Soldiers by persons not involved in the chain of command or supervision is inappropriate.

*c.* Although battalion S-1 (BN S-1)/brigade S-1 (BDE S-1) or administrative office need not maintain copies of superseded rating schemes, it is recommend to maintain them for a period of 1 to 2 years for historical purposes only.

*d.* Special rules for designating rating officials have been made to cover the death, relief, or incapacitation of a rating official (see para 2-20). Rating officials who are suspended may not render or receive evaluations until the suspension is cleared, with the exception to a completed report that was delayed arriving to the U.S. Army Human Resources Command (HRC) before the suspension date.

*e.* Special rules governing the rating officials for officers under dual supervision, chaplains, Judge Advocate General Counsel (JAGC), Army Medical Department (AMEDD), and professors of military science are addressed in section IV of this chapter.

*f.* Specific rules by report include—

(1) *Officer rating chains.*

*(a)* These normally will consist of the rated individual, the rater, and the senior rater. The senior rater will accomplish the final rating chain review. Some officer rating chains will also include an intermediate rater.

*(b)* An intermediate rater will be designated only when a rated officer has a supervisor who is between the rater and senior rater or requires a technical expert in the chain of command (see table 2-1).

*(c)* In some cases a rated officer's rating chain may have a qualified rating official/supervisor who serves as both rater and senior rater (see paragraph 2-21).

*(d)* In other situations, a rated officer's rating chain may consist of dual supervision, when he/she is supervised and assigned different duties by two qualified but separate chains of command or supervision throughout the entire rating period.

(2) *NCO rating chains.* These will consist of the rated NCO, the rater, the senior rater, and the reviewer. The reviewer will be a commissioned officer, warrant officer, CSM, or sergeant major (SGM) in the direct line of supervision and senior in pay grade or date of rank to the senior rater. NCO rating chains will not include an intermediate rater.

(3) *AER rating chains.* These will consist of the authorized academic advisor and authentication official as designated by the commandant or appropriate civilian academic authorities.

#### 2-4. General rules for establishing rating chains

*a.* The rater will normally be the immediate supervisor of the rated Soldier. The rater will normally be senior by grade or date of rank (DOR) to the rated individual. Commanders will normally rate commanders. Civilian raters for OERs and NCOERs will be designated as official supervisor on the established rating scheme approved by the commander. Civilian raters for NCOERs will be designated and qualified by grade. The minimum grade to be a civilian rater is general schedule (GS) 07.

*b.* The intermediate rater (OER only) will be senior to the rater by grade or date of rank to the rated officer. The intermediate rater will be included when there is a level of supervision between the rater and senior rater unless an

exemption applies. If an intermediate rater is included, they will be senior to the rated officer by grade or date of rank. For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E.

c. Senior rater minimum grade requirements for OERs are in table 2-1. Senior Executive Service (SES) members may be senior raters for all grades of rated officers provided they are in the rated officer's chain of supervision and is at least one level above the intermediate supervision of the rated officer.

d. Senior raters for NCOERs will be U.S. Armed Forces members, senior by grade or date of rank to all rating officials and rated NCOs in the direct line of supervision of the rated NCO. DOD civilian employee minimum qualified grade is GS-09 or equivalent.

e. Specific requirements for rating officials are addressed in subsequent paragraphs.

**Table 2-1**  
**Minimum Grade requirements for senior raters of officer OERs**

When grade of the rated individual is—	If a military senior rater, The minimum grade of the senior rater is—	If civilian performing senior rater function, the minimum grade of the senior rater is—		
		Merit/general schedule (GS)	Nonappropriated fund	SES (see para 2-4c)
WO/2LT/first lieutenant Promotable (1LT(P))	04 Major (MAJ)/CPT(P)	General manager (GM)/ general Government (GG)/GS-13	Universally administrative (UA) 13	
1LT(P)/CPT	05 Lieutenant colonel (LTC)/ MAJ(P)	GM/GG/GS-13	UA-13	
CPT(P)/MAJ	06 Colonel (COL)/LTC(P)	GM/GG/GS-15	UA-15	
MAJ(P)/LTC	06 COL/LTC(P)	GM/GG/GS-15	UA-15	
LTC(P)/COL	07 Brigadier general (BG)/ COL(P)	SES (see 2-4c)	UA-16	
COL(P)/BG/MG	Senior to the rater and intermediate rater	Senior to the rater and intermediate rater	Senior to the rater and intermediate rater	

**Notes:**

<sup>1</sup> Supplementary review required in some cases.

<sup>2</sup> A promotable officer (signified on report by placing a P next to the rank) is one who is on a promotion list and is currently serving in a position authorized the next higher grade.

<sup>3</sup> Civilian ranks are under transition because of National Security Personnel System; as we evolve, these minimum requirements may be changed.

**Section II**  
**Rating Chain Development and Maintenance**

**2-5. Rules for designating a rater**

a. *Rater Requirements.* The rater will be the person (immediate supervisor) in the rating chain that directs and is most responsible for the rated Soldier's performance. The rater will be the immediate supervisor that monitors/observes the day to day performance of the rated individual and directly guides the rated Soldier's participation in the organization's mission. The following describe the requirements by form.

(1) *DA Form 67-9 (OER).* A rater will be an officer of the United States or allied armed forces or an employee of a U.S. Government agency (including nonappropriated fund rating officials). The rater will normally be the immediate supervisor for a minimum period of 90 consecutive days.

(2) *DA Form 2166-8 (NCOER).* A rater will be an officer or NCO of the U.S. Armed Forces or an employee of a DOD or U.S. Government agency (including nonappropriated fund rating officials). Members of Allied Forces will not be not authorized to serve as raters. The rater will normally be the immediate supervisor for a minimum period of 90 consecutive days.

(3) *DA Form 1059 and DA Form 1059-1 (AER).* A rater will be the military or civilian course advisor designated by the commandant or dean of the civilian academic institution that supervises and/or monitors the student's performance and compliance with academic standards.

*b. OER rater eligibility.* A military rater will be senior to the rated officer, by grade or date of rank. Exceptions to this rule are—

(1) A rater in a command position may rate an officer who is of the same grade but senior in date of rank if the rater has been appointed to command by direction of the President and has command authority over the rated officer. Format and guidance for assumption of command orders are in AR 600-20, figure 2-2. General officers will have approval authority. In such cases, the rater will attach a copy of their appointment-to-command order as an enclosure to the rated officer's report.

(2) Officers in command positions may rate an officer over whom they have command authority and who are senior in date of rank but ineligible by law or regulation to command troops other than those of their own branch, service, or department. In such cases, the raters will attach a copy of the written assumption of command as an enclosure to the rated officer's report.

(3) An officer in a joint headquarters or activity may rate an officer who is senior in date of rank provided—

(a) The rater is not a U.S. Army officer.

(b) The senior rater is at least one grade senior to the rated officer.

(c) 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 HQDA as an enclosure to the evaluation form.

(4) For OERs, a civilian rater has no minimum grade requirement but will be the rated individual's designated supervisor.

(5) Commanders will normally be 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 immediate supervisor because of functional, geographical, or technical supervision requirements.

(6) Officer who are selected for promotion and who are in authorized positions for the new 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 and who is in an authorized position for the new grade will be considered to be serving in the new grade. The symbol "P" will be put next to the current grade on the applicable evaluation form.

(8) A rater who has been selected for promotion 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 be put next to the current grade on the applicable evaluation form.

*c. NCOER 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) If the NCO is on a recommended list for promotion or frocked to one of the top three NCO grades (first sergeant (1SG), SGM, or CSM) and is serving in an authorized position for the new grade, then he/she will rate any NCO supervised, if after the rater's promotion he/she will be senior in pay grade or date of rank to the rated NCO.

(2) Commanders may appoint civilian employees of DOD, GS-07 and above, as raters when an immediate military supervisor is not available and when the civilian supervisor is in the best position to accurately evaluate the NCO's performance. The uniqueness of the other civilian pay scales precludes the establishment of a general Army-wide policy. Therefore, the minimum grade for civilian raters holding other than GS pay grades is determined by local commanders. The civilian rater will be officially designated on the published rating scheme established by the local commander. ARNGUS military technicians (32 USC 709) will also be senior in military grade or, if the same grade, senior in date of rank, to the rated NCO.

(3) CSMs of table of organization and equipment (TOE) and tables 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/installation CSM may rate the Active Army CSMs who are commandants of NCO academies. The Assistant Adjutant General Army or the State CSM may rate ARNGUS NCO academy commandants.

(c) The CG, Division (Institutional Training) will determine the rating chain for USAR NCO Academy CSMs who are commandants.

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

(1) A military 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.

(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.

## 2-6. Rules for designating an officer evaluation report intermediate rater

An intermediate rater will be an officer of the United States Armed Forces or allied armed forces or an employee of a U.S. Government agency (including nonappropriated fund employees). In addition, the intermediate rater—

a. Will be senior in grade or date of rank to the rated officer. A civilian intermediate rater has no minimum grade requirement but will be a designated supervisor of the rated officer or rater.

b. Will be a supervisor between the rater and senior rater in the rated officer's rating chain. 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.

c. Will usually 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 2-20 or appendix C, D; or E of this regulation apply. In cases of dual supervision, the designated intermediate rater, if from a nonparent unit, may be senior to the senior rater (para 2-21).

d. Normally will serve in that capacity for a minimum of 60 days in order to evaluate the rated officer. Intermediate raters may evaluate the rated officer with fewer than 60 days as an intermediate rater if they have also served in a previously published rating chain and the combined total of time served in the rating chain equals 60 days or more. For example, an officer serves in the rated officer's rating chain as the senior rater for 32 days. Then, because of organizational shifts, becomes the intermediate rater, a new rating chain is published, and a new senior rater is designated. If a report is due 30 days from the time of becoming the intermediate rater, and the combined total time as a member of the rating chain is 62 days, that intermediate rater may evaluate as the intermediate rater.

## 2-7. Rules for designating a senior rater

The following are senior rater requirements and eligibility by form:

### a. DA Form 67-9.

(1) A senior rater will be an officer of the U.S. Armed Forces or an employee of DOD (including nonappropriated fund employees) who is senior to all U.S. Armed Forces and DOD members of the rating chain. Members of allied forces are not authorized to be senior raters.

(2) The senior rater will be a supervisor above all other rating officials in the rated Soldier's chain of command or supervisory chain. The senior rater will be the immediate supervisor of the rater and designated as the rated soldier's senior rater for a minimum period of 60 consecutive days.

(3) Senior raters may evaluate the rated Soldier 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. Other exceptions to this policy are given in sections VII and VIII of chapter 3.

(4) The minimum grade for a military 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 meet qualifications summarized in table 2-1.

(5) For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E. Appendix E does not apply to ARNGUS.

(6) A senior rater who has been selected for promotion and who is in an authorized position for the new grade will be considered to be serving in the new grade. The symbol "P" will be put next to their current grade on the applicable evaluation form.

(7) Senior raters who have been selected for promotion but are not in a position authorized for the new grade will be considered to be serving in their current grades. The symbol "P" will not be put next to their current grades on the applicable evaluation form.

(8) Senior raters will be senior in grade or date of rank to the rated officer, the rater, and the intermediate rater. An exception to this rule is if they are authorized by paragraph 2-5b(1), (2), or (3) to rate those other members of the rating chain. A senior rater need not be senior in grade or date of rank to a designated intermediate rater from a nonparent unit when a dual supervision exists.

(9) To senior rate officers in the ranks of WO1 through MAJ—

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

(b) Civilian senior raters will be at least GG/GS-13 (or UA equivalent) to senior rate officers in the grades of warrant officer through CPT, and GG/GS-15 to senior rate MAJs.

(10) To senior rate officers in the grades of LTC and COL—

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

(b) Civilian senior raters will be at least GG/GS-15 (or UA equivalent) to senior rate officers in the grade of lieutenant colonel.

(c) Civilian senior raters will be at least SES (or UA equivalent) to senior rate officers in the grade of COL.

(11) To senior rate officers in the grades of BG and MG, the senior rater will be senior in grade or date of rank to the other members of the rating chain.

*b. DA Form 2166-8.*

(1) A senior rater will be an officer of the U.S. Armed Forces or an employee of DOD (including nonappropriated fund employees) who is senior to all other members of the rating chain. Members of allied forces are not authorized to be senior raters.

(2) A senior rater will be a supervisor over all other rating officials in the rated Soldier's chain of command or supervisory chain. The senior rater will be the immediate supervisor of the rater and designated as the rated soldier's senior rater for a minimum period of 60 consecutive days (see paras 3-44, 4-4c(2), and 5-11 for exceptions).

(3) Senior raters will be senior to the rater by either pay grade or date of rank. If an NCO is on a recommended list for promotion or frocked to one of the top three NCO grades (1SG, SGM, or CSM) and is serving in an authorized position for the new grade, then they may senior 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.

(4) Commanders may appoint civilian employees of DOD, GS-09 and above (or equivalent), as senior raters when a military supervisor is not available and when the civilian supervisor is in the best position to accurately evaluate the NCO's performance. The uniqueness of the other civilian pay scales precludes the establishment of a general Army-wide 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.

## **2-8. Rules for designating a reviewer**

*a. OER reviewer eligibility and responsibility.* In most instances, the senior rater will accomplish the final rating chain review; exceptions to this provision are in paragraph 2-8b. Supplementary reviews will be conducted in certain situations:

(1) If the senior rater is a U.S. Army officer (other than a general officer) also performing as the rater and there is no other U.S. Army officer in the chain of supervision, an additional review by HQDA will be performed.

(2) If the senior rater is not a U.S. Army officer or Department of Army civilian, a supplementary review will be conducted by the first U.S. Army officer or Department of Army civilian above the senior rater in the chain of command or supervision. This officer will be designated by the commander establishing the rating chain and identified in the published rating scheme. When such a review is conducted, the supplementary reviewer will prepare an enclosure, as described in figure 2-1. If necessary, the reviewer will indicate in the enclosure comments on the accuracy or clarity of the completed OER. The comments will not include evaluative statements about the rated officer and statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain. If there are no comments, the reviewer will indicate in the enclosure that no added comment is necessary. If no U.S. Army officer or Department of Army civilian is available above the senior rater in the chain of command, the submitter will request a review by HQDA.

*b. NCOER reviewer eligibility and responsibility.* These will include a reviewer who is in the U.S. Army. The reviewer will be an officer, CSM, or SGM in the direct line of supervision and senior in pay grade or date of rank to the senior rater. Promotable master sergeants may serve as reviewers, provided they are working in an authorized CSM or SGM position.

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

(2) Commanders may appoint officers of other U.S. military services or civilian employees of DOD, GS-12 and above, or other equivalent civilian pay scales, as reviewers when—

(a) The grade and line-of-supervision requirements are met.

(b) Either the rater or senior rater is a uniformed Army official.

(3) In cases where both the rater and senior rater are other than uniformed Army rating officials and no uniformed Army reviewer is available, either—

(a) The report will be reviewed by a uniformed Army officer in the rated NCO's unit administrative office. As an exception, this officer is not required to be senior to the rater or senior rater.

(b) General/flag rank officers and SES civilians serving with any branch of the U.S. Armed Forces may be appointed as reviewers.

(4) In cases where superseded in above requirements, when the rater or senior rater is a general officer, officer of flag rank, or civilian with SES, Defense Intelligence Senior Level, or equivalent DOD senior civil service rank and precedence, that official will also act as reviewer.

*c. AER reviewer eligibility and responsibility.* The authorized reviewer for rated Soldiers who achieve course standards on the AER is the individual designated by the military. This individual will be the commandant, academic dean, or an official designated above the evaluating officer or academic official. The Advanced Civil Schooling office is the reviewer for all AR 621-1 and AR 621-7 programs.

## **2-9. Steps for rating chain development and maintenance**

The steps for developing and maintaining a rating chain are found in tables 2-1 and 2-2.

**Table 2-2**  
**Rating chain development and maintenance**

Step	Work center	Action required
1	BN/BDE S1 or administrative office	By Component, coordinate with commander, establish by-name rating chain for officers or NCOs assigned, attached, on temporary duty (TDY), or on special duty to the unit. Identify all rating officials, to include dual supervisors and/or supplementary reviewers, for each rated Soldier. Include the date on which each rating official was designated.
2	BN/BDE S1 or administrative office	Forward draft copy of rating chain to subordinate units for review and edit.
3	Unit & rating chain	Review for accuracy of information providing suggested corrections/changes as necessary.
4	BN/BDE S1 or administrative office	In coordination with Commander, prepare final rating chain document.
5	Unit commander	Commander authenticates and publishes rating chain showing the effective date; copy is made available to each rated officer and rating official.
6	BN/BDE S1 or Administrative Office	Publish and post the rating chain in accordance with locally established procedures.
7	BN/BDE S1 or administrative office	Annotate changes to rating chain as a result of duty changes, rating official changes, and so on. Publish authenticated revisions, with effective date, as required and made available.

### Section III

#### The Role of Rating Chain Members

#### 2-10. The rated individual

- a. The rated individual is the subject of the evaluation and has considerable responsibility in the evaluation process.
- b. Normally, to be eligible for an evaluation report, 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, tables 2-1 and 3-1).
- c. 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 individuals will periodically evaluate their own performances and, when in doubt, seek the advice of their superiors in the rating chain.

- (2) Participate in counseling, assessments and a final evaluation. Discuss the duty description and performance objectives, academic standards and/or course requirements with rater. This will be done within 30 days after the beginning of each new rating period and at least quarterly thereafter.

- (3) Assess (with 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 individual may also have to develop new objectives with the rater.

- (4) Describe (with 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 of the entries are allowed when the rated Soldier agrees with the changes.

- d. All rated Soldiers will receive a copy of their evaluations before they depart from a unit of assignment or military/civilian school of instruction.

- e. Unique requirements for OERs include—

- (1) In addition to the responsibilities listed above, officers with the rank of CPT, LT, chief warrant officer 2 (CW2), and WO1 are responsible for—

- (a) Becoming familiar with the DA Form 67-9-1a and preparing to discuss their developmental plans during the initial face-to-face counseling (within first 30 days).

- (b) Assessing the validity of their developmental tasks throughout the rating period. This may result in having to revise and update both objectives and duty description as the situation changes. If changes or updates are required, the rated officer will discuss them with the rater, normally during followup counseling sessions.

- (2) For referred OERs, when the rated officer is geographically dispersed, he/she will respond to a certified letter or an automatic routing e-mail with enclosed report and instructions by the reasonable suspense set by the senior rater.

#### 2-11. Role of the rated officer selected for promotion

The "P" designation rules below do not apply to NCOs.

a. If a rated officer has been selected for promotion and is in an authorized position for a new grade, he/she will be considered to be serving in that grade when determining the rating chain. The designation "P" will be entered next to the current grade on DA Form 67-9 (see DA Pam 623-3, para 2-4). The rules and requirements for the next higher grade apply.

b. If a rated officer has been selected for promotion but is not in an authorized position for their new grade, the rules and requirements for the current grade will apply when preparing the rating chain. The designation "P" will not be used next to the officer's current grade on DA Form 67-9 (see DA Pam 623-3, para 2-4).

## **2-12. Role of the rater**

Raters will—

a. Provide their support forms, along with the senior rater's support forms, to the rated Soldier at the beginning of the rating period.

b. Discuss the scope of the rated Soldier's duty description with the rated Soldier 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 permanent objectives for the rated Soldier.

d. Use counseling forms.

(1) DA Form 67-9-1 is used throughout the rating period. DA Form 67-9-1a will be used along with the DA Form 67-9-1 for officers in the rank of CPT, LT, CW2, and WO1. DA Form 67-9-1a is optional for other ranks.

(2) DA Form 2166-8-1 will be used for the required initial and quarterly NCO counseling, professional development throughout the rating period, and preparing the final evaluation.

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

f. Assess the performance of the rated Soldier, using all reasonable means, to include personal contact, records and reports, and the information provided by the rated officer on DA Form 67-9-1 and/or 67-9-1a and on DA Form 2166-8-1.

g. Review the applicable support forms 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 evaluations.

h. Verify rated individual's Army Physical Fitness Test (APFT) and height and weight data for entry on the evaluation report (DA Form 67-9, Part IVc, and DA Form 2166-8, Part IVc).

i. Provide an objective and comprehensive evaluation of the rated Soldier's performance and potential on the DA Form 67-9, DA Form 2166-8, DA Form 1059, or DA Form 1059-1.

## **2-13. Additional role for raters**

a. The raters of CPTs, LTs, CW2s, and WO1s will ensure DA Form 67-9-1a is initiated at the initial face-to-face counseling. The initial developmental tasks will be established and recorded. The rater will obtain the senior rater's approval and initials. The developmental support form (DSF) will then be used as a working tool throughout the remainder of the rating period.

b. Raters of CPTs, LTs, CW2s, and WO1s will also conduct quarterly followup counseling sessions to discuss performance, update and/or revise developmental tasks as required, and assess developmental progress. Summary/key comments will be recorded on the DA Form 67-9-1a.

## **2-14. Role of the Intermediate rater (DA Form 67-9 only)**

a. Intermediate raters will assess the performance of rated officers using all reasonable means, to include—

(1) Personal contact.

(2) Records and reports.

(3) The rater's evaluation of the rated officer given on DA Form 67-9.

(4) The information provided by the rated officer on DA Form 67-9-1.

b. Intermediate raters will render an objective evaluation of a rated officer's performance and potential on DA Form 67-9.

c. Intermediate rater responsibilities do not apply to NCO evaluations.

## **2-15. Role of the senior rater or authenticating official**

*a.* The senior rater (OER/NCOER) is the senior rating official in the military rating chain or as officially designated by the academic institution (AER). Senior raters use their position and experience to evaluate the rated Soldier from a broad organizational perspective, military program of instruction, or civilian academic course standards. Their 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.

*b.* Senior raters will—

(1) Ensure support forms are provided to all rated Soldiers they senior rate at the beginning of and throughout the respective rating periods.

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

(3) Assess the ability of the rated Soldier. 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 adequacy of resources.

(*e*) The overall efficiency of the organization.

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

(4) Ensure that 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.

(5) Consider the information on the applicable support forms when evaluating the rated individual.

(6) Evaluate the rated Soldier's potential relative to their contemporaries.

(7) Ensure that all reports, which the senior rater and subordinates write, are complete and provide a realistic evaluation in compliance with procedures established in DA Pam 623-3.

(8) When possible, have the rated Soldier manually or electronically approve the report after it has been completed by the senior rater. The rated Soldier's signature verifies that administrative data, to include height/weight/APFT data, on the form are correct and confirms that the rated Soldier has seen the completed report.

(9) When using electronic approvals (and when this regulation has been supplemented by an organization on this topic), the senior rater will ensure that the particular methods of electronic approval used by each of the rating officials and rated Soldier meet the organization's requirements and standards.

(10) Will ensure all rated Soldiers receive copies of their evaluations before the rated Soldiers or rating officials depart from a unit of assignment or military/civilian school of instruction.

*c.* To address unique responsibilities for OERs and NCOERs, senior raters—

(1) Will meet the minimum senior rater rank and grade requirements in table 2-1.

(2) In addition to evaluating rated officers, normally will perform the final rating chain review. NCO evaluation reviews are conducted by a separate qualified reviewer (see para 2-17).

(3) Will review and initial the first DA Form 2166-8-1 and review the final DA Form 2166-8-1 in use in the evaluation.

(4) For a referred DA Form 67-9, Part IId, only, will ensure the rated officer is provided an opportunity to provide individual comments before authentication and departure of the rated individual (see procedures in DA Pam 623-3, para 2-12).

*d.* For AERs, the qualification to serve as the authenticating official is determined by the standards of the military course of instruction and/or civilian institution. Military authenticating officials will meet the minimum senior rater rank and grade requirements in table 2-1.

## **2-16. Additional roles for senior raters**

Senior raters of CPTs, LTs, CW2s, and W01s will approve all DA Form 67-9-1a developmental action plans and initial on the form. Senior raters will also ensure compliance with the requirements of the DA Form 67-9-1a and that the command climate fosters open, two-way communication between raters and officers and warrant officers in applicable ranks.

## **Section IV**

### **Evaluation Reviews**

## **2-17. Review of noncommissioned officer reports**

*a.* Every NCOER will be reviewed by the first sergeant, CSM, or SGM and signed by an official who meets the reviewer requirements of paragraph 2-8*b*. The reviewer is responsible for rating safeguard overwatch and 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 support the appropriate excellence, success, or needs improvement ratings in Part IVb-f (see DA Pam 623-3, table 3-5, for definitions).
  - b. The reviewer will comment only when in disagreement with the rater and/or senior rater. The reviewer indicates concurrence or nonconcurrence with rater and/or senior rater by annotating the appropriate box with a typewritten or handwritten "X " in Part II and adding an enclosure (not to exceed one page, fig 2-1). For specific instructions, see DA Pam 623-3, table 3-2.
    - (1) When the reviewer determines that the rater and or senior rater have not evaluated the rated NCO in a clear, consistent or just manner based on known facts, the reviewer's first responsibility will be to consult with one or both rating officials to determine the basis for the apparent discrepancy.
    - (2) If the rater and/or senior rater acknowledge the discrepancy and revise the NCOER so that the reviewer agrees with the evaluation, the reviewer will check the concur box in Part II.
    - (3) If the rater and/or senior rater fail to acknowledge a discrepancy and indicate that the evaluation is their honest opinion, the reviewer will check the nonconcur box in Part II. The reviewer then will add an enclosure that clarifies the situation and renders his/her opinion regarding the rated NCO's performance and potential.
    - (4) The reviewer may not direct that the rater and/or senior rater change an evaluation believed to be honest.
    - (5) In cases where neither the rater nor the senior rater is an NCO, the reviewer will get additional informal input from the senior NCO subordinate to the reviewer.
    - (6) The reviewer's enclosure will be submitted along with the completed DA Form 2166-8 and is limited to one page. In the format shown at figure 2-1, the reviewer will notify the rating chain and rated NCO of nonconcurrence with the report. This will ensure that the rating chain and the rated NCO are informed of the completed report and may allow for a possible request for a Commander's Inquiry or appeal if desired.
    - (7) The reviewer's enclosure will not be used as a third, reworded agreement with evaluations by the rater and senior rater.
  - c. The reviewer will complete and authenticate the NCOER in accordance with options in DA Pam 623-3, chapter 3.
    - d. The reviewer will forward the NCOER to HQDA and nonconcurrence memorandum (if any) to—
      - (1) For Active Duty, HRC-Indianapolis (see appendix F).
      - (2) For USAR and AGR, HRC-St. Louis (see appendix F)
      - (3) For ARNGUS, State or National Guard Bureau (NGB) Readiness Center (see appendix F).

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(Letterhead)

(Office Symbol) (MARKS Number)

(DATE)

MEMORANDUM FOR RECORD:

SUBJECT: NCOER Nonoccurrence Memorandum For:  
(Rated NCO's Name, Rank, SSN and period of report)

As the reviewer during the period in question I nonconcur with the (rater's and/or senior rater's) evaluation of (name of rated NCO). I submit the following to clarify the situation and indicate what I consider to be the proper evaluation of performance and/or potential. I... (submit your evaluation)...

(Signature Block)

Figure 2-1. Example of a format for a nonconcurrency memorandum

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## 2-18. Review of officer and academic evaluation reports

*a.* In most instances, the senior rater for OERs, the authentication official for AERs, or the administration reviewer for AERs will perform the final rating chain review.

*b.* All reviewing officials or OERs and AERs will ensure 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, chapters 2 (OER) and 4 (AER).

(4) The communication process between the rater and rated officer has taken place, is documented properly as described in DA Pam 623-3, and/or in academic counseling standards established by the military or civilian institution.

(5) All comments are consistent with the counseling, support forms or other communications between rating officials and the rated individual during the rating period.

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

(7) All evaluation reports are submitted to HQDA along with any prepared comments required in paragraph 2-18*d*. Supplementary reviews will be prepared in accordance with figure 2-2 and submitted to the appropriate HQDA office indicated in appendix B of DA Pam 623-3, as follows:

*(a)* Active Component, HRC-Alexandria.

*(b)* USAR and AGR, HRC-St. Louis.

*(c)* ARNGUS, NGB Headquarters, Arlington, VA, or State military personnel office.

*c.* In addition to the above, reviewers of relief OERs or failed-to-achieve-academic-standard AERs will—

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

(2) Verify that any derogatory information is correct.

- (3) Ensure that the evaluation is prepared as prescribed by this regulation.
- (4) Ensure that the evaluation has been returned to the rated officer for comment.
- (5) Review relieved individual's referral comments if submitted.
- (6) All relief reports or failure to achieve academic or course standards (paras 3-35 and 3-58) will be reviewed by the first U.S. Army officer in the chain-of-command who is senior to the individual directing the relief. If the relief is directed by the rater or intermediate rater, a senior rater, provided he/she is a U.S. Army officer, will perform the review. This officer will perform the functions described in paragraph 2-18c(1) through (5). The senior rater's comments will be prepared as an enclosure to the OER (fig 2-2). If there is not a U.S. Army officer in the chain of command above the person directing the relief, the report will be forwarded to HQDA for review.

d. For OERs, supplementary reviews will be conducted in certain situations:

(1) If the senior rater for an OER is a U.S. Army officer (other than a general officer) also performing as the rater and there is no other U.S. Army officer in the chain of supervision, an additional review by HQDA will be performed.

(2) If the senior rater for an OER is not a U.S. Army officer or DA civilian, a supplementary review will be conducted by the first U.S. Army officer or DA civilian above the senior rater in the chain of command or supervision. This officer will be designated by the commander establishing the rating chain and identified in the published rating chain. When such a review is conducted, the supplementary reviewer will prepare an enclosure, as described in figure 2-2. If necessary, the enclosure will contain comments on the accuracy or clarity of the completed OER. The comments will not include evaluative statements about the rated officer and statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain. If there are no comments, indicate in the enclosure that no added comment is necessary. If no U.S. Army officer or Department of Army civilian is available above the senior rater in the chain of command, an additional review by HQDA will be requested by the appropriate organizational personnel or administrative office.

e. For AERs, school commandants may delegate signatory/approval authority to the registrar to perform review functions. The commandant's delegation must be filed locally and rescinded or updated when a change of commandant occurs.

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(Letterhead)

(Office Symbol) (MARKS Number)

(Date)

MEMORANDUM FOR (Rated officer's name, SSN, grade and period of report)

SUBJECT: Supplementary OER Review as Required by AR 623-3, paragraph 2-18c(d)

1. As required by AR 623-3, an additional review of the referenced OER was made by me using paragraph 2-18 as the principal source of guidance.

**(Reviewer selects one of 2 options below:)**

2. The OER 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:

Enclosure

*(Signature block)*

Figure 2-2. Example of a supplementary review memorandum

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## **2-19. Mandatory review of officer relief reports**

a. When an officer (commissioned or warrant) is officially relieved of duties and a Relief-for-Cause Report is subsequently prepared (para 3-58), relief-for-cause reports require referral to the rated officer or warrant officer as described in paragraph 3-36. This referral will be completed before taking any of the actions in the following subparagraphs.

b. If the relief is directed by the rater or intermediate rater, the senior rater will do the review provided he or she is a U.S. Army officer. Otherwise, the first U.S. Army officer in the chain of command or supervision above the individual directing the relief will review the reports.

c. The procedures for reviewing relief reports are as follows:

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

(2) If the senior rater (reviewer) finds that the report is unclear, contains errors of fact, or is otherwise in violation of this regulation, he or she will return the 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 honest evaluation by the rater or intermediate rater. When the report has been corrected, it will be returned to the senior rater. (NOTE: changed reports will be referred again by the senior rater, in accordance with para 3-36, to the rated officer so that the corrected report may be acknowledged and comments provided, if desired. Only the final referral and acknowledgment are forwarded with the report to HQDA.)

(3) If the corrected report is satisfactory to the senior rater (reviewer), the senior rater (reviewer) will continue to process the report.

(4) If the corrected report is not satisfactory to the senior rater (reviewer), or if the other rating officials disagree concerning the need for changes in the report, the senior rater (reviewer) will indicate objections to the report by adding an enclosure to the OER. When indicating objections the senior rater (reviewer) is restricted to the issues listed in paragraph 2-18d(2).

(5) If the senior rater is not a U.S. Army officer or Department of The Army civilian, or if the relief was directed by the senior rater or someone above the senior rater in the chain of command or supervision, the report will be reviewed by the first U.S. Army officer in the chain of command above the individual directing the relief. This officer will perform the functions described in paragraphs 2-19c(1) through (4). His or her comments will be prepared as an enclosure to the OER. If there is not a U.S. Army officer in the chain of command above the person directing the relief, the report will be forwarded to HQDA for review (see app F for the address).

## **Section V**

### **Special Evaluation Requirements**

#### **2-20. Loss of a rating chain member**

Special rules apply when a rating chain member is unable to render an evaluation of the rated Soldier. These situations occur when a rating official dies, is declared missing, is relieved, or becomes mentally or physically incapacitated to such an extent that they are unable to submit an 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 reports with THRU dates prior to the relief or incapacitation of the rating official that have not yet completed processing to the rated Soldier's OMPF. The rules listed below apply:

##### *a. Requirements for OERs.*

(1) When the rater is removed from the rating chain, it will be determined whether the minimum requirements for an evaluation report have been met (para 2-10b).

(a) If the minimum requirements have not been met, the period is nonrated and a new rater is designated.

(b) If the minimum requirements have 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 has served in the rated officer's rating chain for a period of 60 or more calendar days. If there is no intermediate rater or if the intermediate rater does not feel qualified or has not met the 60 day requirement, the senior rater will perform the rater's function, but only if he/she feels qualified to rate and has served in the rating chain for 60 or more calendar days. If the senior rater does not feel qualified or has not met the 60-day requirement, the period will be nonrated. If a senior rater assumes the role of rater, he/she will serve as both rater and senior rater (see para 2-21). When the intermediate rater or the senior rater performs the functions of the rater, the number of months in the rating period block (Parts Ii and j) will be computed using the period the substitute rating official has been in the chain.

(2) When the senior rater is removed, a new rating official will be designated by either of two options. First, a new senior rater may be appointed who will participate in an evaluation when one is due after completing the required minimum time in the senior rater position. Second, a new senior rater may be appointed who was the original senior

rater's rater. This individual must feel qualified and will meet minimum qualifications for being the rater of the removed senior rater and minimum status qualifications for being this rated officer's senior rater (that is, a member of the U.S. Armed Forces or employee of DOD and appropriate grade/rank.) Minimum senior rater time qualifications for this individual are not required.

(3) When rating officials are suspended, they will not render evaluations until their status (and thus their ability to serve as rating officials) is decided. If relieved, the provisions of this paragraph apply. If not relieved, the provisions of this paragraph do not apply.

*b. Requirements for NCOERs.*

(1) When the rater is removed from the rating chain, it will be determined whether the minimum rating period for an evaluation report has been met.

(a) If the minimum rating period (90 rated days) has not been met, the period is non-rated and a new rater will be designated.

(b) If the minimum rating period (90 rated days) has been met, the senior rater will perform the rater's functions provided rater qualifications are met. The senior rater will serve as both the rater and senior rater and the senior rater's information will be entered into Parts IIa and b.

(2) The removal of the senior rater or reviewer from the rating chain will be treated as a routine change. A new rating official will be designated and may participate in the evaluation after completing the required minimum time in position.

(3) When rating officials are suspended, they will not render evaluations until their status (and thus their ability to serve as rating officials) is decided. If relieved, the provisions of this paragraph will apply. If not relieved, the provisions of this paragraph will not apply. When a rater or senior rater is suspended, the suspended time will be counted as nonrated time on the rated NCO's NCOER.

(4) When the senior rater performs the functions of the rater, the rated period of the report will be the period the senior rater has been in the rating chain.

*c. Requirements for AERs.*

(1) For DA Form 1059, a new rater and authenticating official will be designated by the commandant of the school in the event of loss, relief, or incapacitation of that rating official. In the event of loss of an authorized authenticating official, the Commander, U.S. Training and Doctrine Command will designate a local official qualified to serve as both the rater and senior rater (authenticating official).

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

**2-21. Supervisor as both rater and senior rater (DA Form 67-9 only)**

*a.* The provisions of this paragraph do not apply to NCOERs or AERs.

*b.* In the following situations, supervisors or commanders who would normally act only as raters may also act as senior raters, providing they meet the minimum grade requirement necessary to be senior raters and providing the authority to do so has not been restricted by the next higher commander.

(1) A general officer for his/her Aide-de-Camp or an SES equivalent for his/her military assistant.

(2) A commander for his/her inspector general.

(3) An MG (includes a BG in an MG's position) or higher.

(4) A BG who is a commander.

(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) Chairman, Joint Chiefs of Staff.

(f) Vice Chairman, Joint Chiefs of Staff.

(g) The Chief of Staff, Army.

(h) The Vice Chief of Staff, Army.

(i) The Supreme Allied Commander, Europe.

(j) Commanders-in-Chief, Specified or Unified Commands.

*c.* It will be noted that the authority to act as both rater and senior rater does not extend to the rater of a general officer or a promotable colonel in a general officer position, unless there is no senior official who could logically serve as senior rater.

*d.* General officers serving as both rater and senior rater may render evaluations on a rated officer after meeting the 60 days rating requirement vice the standard 90 days requirement.

e. When the above situations apply, additional reviews may be required. Refer to paragraph 2-18.

#### **2-22. Dual supervision (DA Form 67-9 only)**

This paragraph will not apply to DA Form 2166-8. NCOs will have one, clearly defined U.S. Army or DOD civilian chain of command, or to DA Form 1059 or DA Form 1059-1.

a. Officers will be 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 installation 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 supervising chains of command will be represented in the rating chain. This can be accomplished by dividing the rating chain positions between the two supervisory chains of command (preferred method).

(1) For example, the rater might be selected from the nonparent unit and the senior rater from the parent unit. As another alternative, 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.

(2) 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 evaluate on DA Form 67-9 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 report. If the dual supervisor has not been in the position for the required 60 day period to evaluate, the senior rater in the review capacity will so indicate in Part VIIc.

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

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

#### **2-23. 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.

#### **2-24. Special requirements**

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

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

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

d. Special evaluation requirements for Army Medical Department officers are in appendix E.

### **Chapter 3**

#### **Army Evaluation Principles**

##### **Section I**

##### **Evaluation Overview**

##### **3-1. Introduction**

This chapter governs evaluation principles. 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 chapters 4 and 5 in this regulation.

##### **3-2. Evaluation requirements**

a. Reports will not be submitted unless authorized by this regulation or directed by HQDA.

b. Reports will be submitted for—

(1) All officers through the grade of MG, except for the Dean of Academic Board, the Registrar, and permanent professors of the U.S. Military Academy who have completed 30 years commissioned service.

(2) All warrant officers through the grade of CW5. Reports are not required, but are optional, for CW5s serving in three- and four-star nominative positions, except for Relief-for-Cause reports. When CW5s 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.

(3) All NCOs in the grade of SGT through CSM. Reports are optional for CSMs serving in three- and four-star nominative positions, except for Relief-for-Cause reports. When CSMs 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 reports: mandatory and optional. These are further divided into a 90-calendar-day minimum rating period and an other-than-a-90-day requirement. To determine if Soldier meets the minimum calendar-day requirements set by this chapter, nonrated periods occurring during the rating period will be deducted from the total number of days served in the same position under the same rater during the rating period.

d. Rating officials greatly affect a rated Soldier's performance and professional development. Thus, these officials will ensure that the rated individual thoroughly understands the organization, its mission, their role in support of the mission, and all of the military and/or academic standards by which their performance will be evaluated. The DA Form 67-9-1 processes outlined in DA Pam 623-3, chapter 2, and the DA Form 2166-8-1 processes outlined in DA Pam 623-3, chapter 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 reports that are 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 individual's current grade, experience, and military schooling, evaluations will cover failures as well as achievements. Evaluations will normally not be based on a few isolated minor incidents.

g. Requirements for retirement reports include the following:

(1) All Soldiers will receive a retirement report within 12 months of the THRU date prior to the day transition leave begins. The evaluation will indicate duties which the Soldier will best serve the Army if recalled to Active Duty.

(2) Retirees recalled to Active Duty will not receive evaluations that are processed by HQDA 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 utilized as a communication tool at the local or unit level, but a final report will not be submitted to HQDA for processing nor will the individual officer, if eligible, be considered as part of the Senior Rater profile population.

h. 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 an officer basic course, except for relief for cause reports or provisions of paragraph 3-54 for AMEDD officers. The period prior to attending the basic course will be nonrated and will be accounted for in the initial evaluation report.

i. Rating officials have a responsibility to balance their obligations to the rated individual with their obligations to the Army. Rating officials will make honest and fair evaluations of Soldiers under their supervision. On the one hand, this evaluation will give full credit to the rated individual for their achievements and potential. On the other hand, rating officials are obligated to the Army to be discriminating in their evaluations so that Army leaders, DA selection boards and career managers can make intelligent decisions.

j. The evaluation purpose and process for DA Form 1059 and DA Form 1059-1 are outlined in Chapter 4, DA Pam 623-3. Academic performance counseling and evaluations for military schools will be conducted in accordance with procedures established at the local level by the Commandant of the school and Commander, Training and Doctrine Command. Academic performance counseling and evaluations for military personnel attending 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.

## **Section II**

### **Evaluation support forms**

#### **3-3. Evaluation forms**

Specific instructions for preparation and submission of evaluation forms are addressed in DA PAM 623-3 as follows:

- a. Chapter 2, OER support and evaluation forms
- b. Chapter 3, NCOER support and evaluation forms
- c. Chapter 4, AER evaluation forms.

#### **3-4. The support form communication process**

a. The support form communication process is characterized by initial and followup 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 Forms 67-9-1 and 2166-8-1. The initial face-to-face counseling assists in developing the elements of the rated individual's duty description, responsibilities and performance objectives. The followup counseling enhances mission-related planning, assessment, and performance development. Discussion and procedures on counseling is found in DA Pam 623-3, appendix C, and in Army Leadership doctrine.

b. Through the communication process, rated individuals 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 rated individual's most important tasks, priorities, and major areas of concern and responsibility. 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. (Example: Process administrative discharge within a 45-day period; carry out a program that ensures on time responses to suspense items.)

(2) *Problem solving* objectives deal with problem situations. These objectives will allow time for dealing with problems without disrupting other objectives. (Example: Prepare for logistical support to activate a battalion; reduce the sudden reduction in vehicle maintenance readiness.)

(3) *Innovative* objectives create new or improved methods of operation. These may involve a degree of risk because they are untried ideas. (Example: Create and or carry out a new property accountability system; develop and test a new maintenance program.)

(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 in their careers or job performance. These may be in any assigned specialty. (Examples: Complete a correspondence course or additional civilian education; improve a subordinate's knowledge in their area of responsibility by developing a study program of Army publications.)

(5) Special items of interest (Army Performance Objectives) objectives have been identified as Army-wide areas of special interest and are listed below.

(a) Rated individuals will include this information in the development of their DA Form 67-9-1 or DA Form 2166-8-1.

(b) When applicable, rating officials will include rated Soldier performance associated with these special interest items in their overall assessment of performance on the evaluation form. AR 600-20 includes additional clarification of some of these issues.

(c) Regarding individual derogatory information, and in accordance with applicable Army guidance, rating officials for individuals with substantiated issues or incidents involving these items of special interest during the rating period will include this information on final evaluation forms. The items below and those mentioned in paragraph 3-29 will be considered.

(d) This list is not all inclusive; commanders may establish their own special interest items and performance objectives:

1. Civilian position management: see AR 690-500.
2. Internal control systems: see AR 11-2.
3. Safety: see AR 385-10. All officers and NCOs will have a safety-related objective/task developed as part of their support form/counseling requirements.
4. Contracting and acquisition: see DOD 5000.52-M.
5. Information Security Program: see AR 380-5. The rating officials will consider and may evaluate the rated individual's discharge of any assigned security responsibilities. Rating officials are to comment on any action, behavior or condition that would constitute a reportable matter under Army security regulations and indicate if an appropriate report has been made.
6. Natural resources management: see AR 200-3. Officers assigned to civil works activities will refer to ER 1130-2-400.
7. Property accountability: see AR 735-5.
8. Command inspections: see AR 1-201.
9. Personnel management responsibilities for Army civilian employees: see AR 614-200.
10. Performance of contracting officers in their ability to increase contract awards to small disadvantaged business concerns, historically black colleges and universities, and minority institutions.
11. Leader's conduct of training on prevention of sexual misconduct or training on avoidance of sexual misconduct will be included in counseling and evaluations.

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 copy of the DA Form 67-9-1 or DA Form 2166-8-1

focuses followup 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.

e. If the communication process has been properly executed, DA Form 67-9-1 and DA Form 2166-8-1 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 this form in the evaluation process, the rated Soldier and rater will verify initial and followup face-to-face counseling by initialing the support form.

(2) For the OER only, when the support form accompanies the rater's evaluation of the rated officer when forwarded to the senior rater, the support form will provide significant information from the rated officer's point of view to the entire rating chain.

(3) For the NCOER only, when the support form accompanies the rater's evaluation of the NCO when forwarded to the senior rater, the support form will provide significant information from the rater's point of view to the entire rating chain.

f. DA Form 67-9-1 and DA Form 2166-8-1 provide an opportunity for the rated individual, rater, intermediate rater (if applicable) and senior rater to communicate. The rater will use the support form for input on the evaluation and forward the support form to the next person in the rating chain (senior rater or intermediate rater if applicable). The intermediate rater, if applicable, will use the support form to complete an evaluation of the rated individual and forward the support form and evaluation to the senior rater. The senior rater will use the support form to complete an evaluation of the rated individual and forward the completed evaluation and support form to the reviewer, if applicable, and then back to the rated individual.

g. Although the support form is an official document covered by regulation, it will not be part of an official file used by selection boards or career managers. Failure to comply with any or all support form requirements will not constitute the sole grounds for appeal of an evaluation report. The senior rater will ensure that a completed DA Form 67-9-1 or DA Form 2166-8-1, as applicable, is returned to the rated individual when the evaluation is forwarded to HQDA.

### **3-5. Role of the rated individual**

a. Shortly after assuming duties, the rater will provide the rated Soldier with copies of the support form and the senior rater's support form with the unit's mission, rating chain individual goals, and objectives. Within the first 30 days of the evaluation period—

(1) A rated officer will draft their support form, using the rater/senior rater support forms provided as input, in preparation for the initial face-to-face counseling with the rater.

(2) A rated NCO will discuss and fully understand or adjust goals and objectives discussed with the rater during the initial counseling session. The rater will initiate DA Form 2166-8-1.

b. Correspondence and telephone conversations may be used as alternatives because of geographic separation, followed by face-to-face discussions between the rated individuals and the rater at the earliest opportunity. Submitting written performance objectives for approval at the beginning of the rating period without a followup face-to-face counseling is an unacceptable shortcut. Rated officers serving under dual supervision will have face-to-face discussions with both supervisors. NCOs will have one chain of command or supervision within a single organization. The rated Soldier will verify the face-to-face discussion by dating and initialing the DA Form 2166-8-1 (see DA Pam 623-3, chapter 2 for DA Form 67-9-1 processes and procedures or chapter 3 for DA Form 2166-8-1 processes and procedures).

c. A rated officer will maintain a working copy of the support form with duties and objectives throughout the rating period. Rated officers will make additions or deletions to their duties and objectives on the working copy as changes and counseling sessions occur and will discuss any changes to the working copy of the support form with raters. Followup face-to-face counseling is the most effective forum for these rater updates. Counseling does not dwell on the past but rather on the future and what needs to be completed or improved.

d. Raters of NCOs will maintain a working copy of DA Form 2166-8-1. Raters use this form to prepare for, conduct, and record results of performance counseling with rated NCOs. Its use is mandatory for counseling all NCOs, corporal (CPL) through CSM. The purpose of DA Form 2166-8-1 is to improve performance counseling by providing structure and discipline to the process.

e. Rated officers—

(1) May express their personal preference for career field and branch and/or functional area recommendations on DA Form 67-9-1 and during professional development counseling sessions with their rating officials.

(2) Serving under dual supervision will develop and maintain separate working copies of their support form.

(3) Who are required to file Standard Form 278 (Executive Branch Personnel, Public Disclosure Report and Schedule A) as a result of their duties will include that requirement on of DA Form 67-9-1, Part IV, Block a. To determine whether they are required to file such forms, officers will consult their command ethics counselor or staff judge advocate.

f. Rated officers will prepare a final DA Form 67-9-1 at the end of the rating period. If necessary and in hardcopy,

rated officers will enter the dates of the initial and followup discussions from the working copy of DA Form 67-9-1 and reenter their initials. The final DA Form 67-9-1 will be considered by the rating officials in preparing DA Form 67-9. Rated officers serving under dual supervision will prepare a final DA Form 67-9-1 for both supervisors.

g. If the rated officer refuses to complete DA Form 67-9-1, Part IV, on the grounds that the entry is voluntary under the Privacy Act, this statement will be entered: "I do not desire to submit the information requested in this section. I realize that I am willingly surrendering my opportunity to have this information considered in my evaluation and that my OER will be prepared without benefit of this information."

h. The rated NCO will maintain a personal copy of the DA Form 2166-8-1 as it is updated by the rater and feedback provided in counseling sessions by the rater. NCOs will not prepare their own DA Form 2166-8-1 but may provide input to rating officials to assist them with completion of the form. Use of DA Form 2166-8-1 is mandatory for counseling all NCOs, CPL through CSM. The purpose of the DA Form 2166-8-1 is to improve counseling by providing structure and discipline to the process described in DA Pam 623-3, chapter 3.

### 3-6. Role of the rater

a. Shortly after the rated Soldier assumes duties, the rater will provide copies of the most recent rater and senior rater support forms, mission or objectives. By doing this, the rater ensures the rated Soldier has the necessary input from the chain of command to determine and prioritize responsibilities and performance objectives properly.

b. At the beginning of the rating period, the rater will inform the rated Soldier who is in the complete rating chain and ensure the correct rating chain is recorded on DA Form 67-9-1 or DA Form 2166-8-1, as applicable. The rater will notify the rated Soldier of any applicable changes to the rating chain. The rater will use the official, published rating chain described in paragraph 2-3 and ensure that the rating chain is published and kept up to date.

c. The rater will ensure that a rated officer serving under dual supervision (para 2-22) 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 developing the separate DA Form 67-9-1.

d. The rater will conduct a face-to-face counseling with the rated Soldier within the first 30 days of the rating period. This initial discussion will focus on duties, responsibilities, and performance objectives of the rated individual. Correspondence and telephone conversations may be used as an alternative because of geographic separation, followed by a face-to-face discussion between the rated individual and rater at the earliest opportunity. Simply requiring the rated officer to submit written performance objectives on DA Form 67-9-1 or, in the case of NCOs, the rater preparing and providing a copy of the NCO's objectives on DA Form 2166-8-1 at the beginning of the rating period without a followup face to face meeting is an unacceptable shortcut of this provision.

e. The rater will verify the initial face-to-face counseling by initialing on the working copy of DA Form 67-9-1 or DA Form 2166-8-1 and will forward a copy to the senior rater for approval and validation (for officers) and verification of face-to-face counseling (for NCOs).

(1) For DA Form 67-9-1, see DA Pam 623-3, chapter 2, for process and procedures. Rated officers in the rank of CPT, LT, CW2, or WO1 will use both DA Form 67-9-1a and DA Form 67-9-1 in preparing support-form objectives with the rater.

(2) For DA Form 2166-8-1, see DA Pam 623-3, chapter 3, for processes and procedures. The rater will use the checklist provided on DA Form 2166-8-1 to prepare and update the form for mandatory counseling sessions.

f. Throughout the rating period, the rater will conduct periodic individual, followup face-to-face counseling with the rated Soldier. These counseling sessions differ from the first counseling session in that the primary focus is on the rater informing the rated individuals how well they are performing, how they can perform their duties better, and updating their duty descriptions.

(1) Quarterly counseling is mandatory for Active Army, AGR, and USAR on Active Duty Tour (ADT) for CPTs, 1LTs, WO1s and CW2s. Field-grade followup counseling is on an as-needed basis. As a rated officer's duty description, objectives, or focus areas change, the rater will counsel the rated individual and update the support forms throughout the rating period. Followup counseling for CPT/LT/CW2/WO1 ARNGUS and USAR officers will occur at least semiannually.

(2) NCOs will conduct followup counseling sessions quarterly for Active Army and AGR NCOs and at least semiannually for ARNGUS and USAR NCOs.

g. Raters are required to articulate their developmental counseling responsibilities, as major performance objectives, on their DA Form 67-9-1, Part IVb. Raters of CPTs, LTs, CW2s, and WO1s will ensure rater counseling requirements for DA Form 67-9-1a are included. In accordance with this regulation and DA Pam 623-3, chapter 3, raters of NCOs will ensure that rater counseling requirements for DA Form 2166-8-1 are included. In accordance with DA Pam 690-400, raters of DA civilians will ensure that rater counseling requirements for DA Form 7223-1 (Base System Civilian Performance Counseling Checklist and Support Form) and DA Form 7222-1 (Senior System Civilian Evaluation Report Support Form) are included.

h. The rater will review the final DA Form 67-9-1 when preparing DA Form 67-9 or final DA Form 2166-8-1 when preparing DA Form 2166-8. The rater will include the final duty description from the support form. The rater

may include performance related information from the rated officer's or NCO's final support form. However, the choice of what to enter on the OER or NCOER is ultimately the rater's.

i. After the rated individual reviews and/or initials, raters will sign and date DA Form 67-9-1 or DA Form 2166-8-1 to acknowledge they reviewed it.

j. The rater will forward the final support form as follows:

(1) Officers will submit DA Form 67-9-1, along with the OER, to intermediate or senior raters to assist them in completing their section of the officer's evaluation.

(2) NCOs will submit DA Form 2166-8-1, along with the NCOER, to the senior rater to complete their section and process the evaluation.

### **3-7. Role of the intermediate rater**

If applicable, intermediate raters will review the officer's final DA Form 67-9-1 when they are preparing DA Form 67-9. NCOs will not have an intermediate rater in the rating chain. The narrative at DA Form 67-9, Part VI, may be based on the rated officer's final DA Form 67-9-1. The intermediate rater will forward the final support forms to the senior rater.

### **3-8. Role of the senior rater**

Each rated Soldier will receive a copy of the senior rater support form from the senior rater.

a. *For officers.*

(1) The senior rater will review, approve, and initial the draft DA Form 67-9-1 and, if applicable, the DA Form 67-9-1a when submitted after initial and followup face-to-face counseling.

(2) The senior rater will review the completed DA Form 67-9-1 and, if applicable, DA Form 67-9-1a at the time the OER is prepared. The narrative at DA Form 67-9, Part VIIIb, may be based in part on the rated officer's final DA Form 67-9-1.

(3) The senior rater will ensure that DA Form 67-9-1 and, if applicable, DA Form 67-9-1a are returned to the rated officer when the completed DA Form 67-9 is forwarded to HQDA.

b. *For NCOs.*

(1) The senior rater will review, approve, and initial a draft DA Form 2166-8-1 when received after the initial and follow-up face-to-face counseling. The senior rater will also ensure compliance with Army evaluations counseling requirements.

(2) At the end of the rating period, the DA Form 2166-8-1 will be used to assist the senior rater with preparing an evaluation of the rated NCO and routed with the NCOER through the review process.

(3) The senior rater will ensure that DA Form 2166-8-1 is returned to the rated NCO when the completed DA Form 2166-8 is forwarded to HQDA.

## **Section III**

### **Officer Evaluation Report Assessments**

#### **3-9. Rater assessments**

The rater will complete the OER, Parts I, II, III, IV and V, including the APFT performance entry and the height and weight entry in Part IVc.

a. Part IV contains a listing of the Army values and the dimensions of the Army's leadership doctrine that define professionalism for the Army officer. These apply across all grades, positions, branches, and specialties. They are needed to maintain public trust, confidence, and the qualities of leadership and management needed to sustain an effective officer corps. These values and leader attributes/skills/actions are on DA Form 67-9 to emphasize and reinforce professionalism and will be considered in the evaluation of the performance of all officers.

b. Part V will be an assessment of performance and potential.

(1) 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.

(2) Potential evaluations are performance-based assessments of the rated officer's ability, compared with that of their contemporaries, which the senior rater rates or will rate to perform in positions of greater responsibilities in higher grades. Assessment of potential applies to all officers, regardless of their opportunity to be selected for higher positions or grades, and ignores such factors as impending release from active duty or retirement; this assessment is continually changing and is reserved for HQDA.

#### **3-10. Intermediate rater assessments**

If applicable, the intermediate rater will complete DA Form 67-9, Part VI. This is an evaluation of performance and potential and the only part of the report completed by the intermediate rater.

### 3-11. Senior rater assessments

a. In DA Form 67-9, Part VIIb, the senior rater will make an assessment of the rated officer's overall potential in comparison with all other officers of the same grade and component (Active, ARNGUS, or USAR) the senior rater has senior rated or has currently in his/her senior rater population. This potential is evaluated in terms of the majority of officers in the population. If the potential assessment is consistent with the majority of officers in that grade, the senior rater will "x" the CENTER OF MASS box. If the rated officer's potential exceeds that of the majority of officer's in the senior rater's population, the senior rater will "x" the ABOVE CENTER OF MASS/CENTER OF MASS box. (The intent is for the senior rater to use this box to identify their upper third in each grade) However, in order to maintain a credible profile, the senior rater must have LESS THAN 50 percent of the ratings of a grade in the top box. Fifty percent or more in the top box will result in a CENTER OF MASS HQDA label (see DA Pam 623-3, para 2-11). 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 believes the rated officer should be retained for further development, the senior rater will "x" the BELOW CENTER OF MASS-RETAIN box. 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 "x" the BELOW CENTER OF MASS-DO NOT RETAIN box.

b. Part VIIb will not be completed on MGs, CPTs, LTs, CW5s, CW2s, WO1s, and a HQDA electronically generated label that states "No Box Check" will be placed over the boxes in Part VIIb. Part VIIb will be completed on BGs and BGs(P) serving in authorized BG positions.

c. To ensure maximum rating flexibility when rating populations change or to preclude a top box check from inadvertently profiling as a CENTER OF MASS rating, senior raters will need to maintain a "cushion" in their top box rather than simply playing the line at less than 50 percent. This is best accomplished by limiting the top box to no more than one-third of all ratings in that grade.

d. To provide senior raters flexibility when initially establishing a credible senior rater profile, the first single top box report processed against the senior rater's profile at that grade will generate an ABOVE CENTER OF MASS label, regardless of the actual profile. All other reports will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the report processes.

e. Officers who are both promotable and serving in any documented position authorized for the higher grade are eligible to carry the "P" identifier in DA Form 67-9, Part I. A "P" identifier indicates the officer will be profiled (Part VIIb) at the next higher grade.

### 3-12. Senior rater profiles for officer reports

Senior rater profiles track the rating history of each senior rater for officers by grade and component, MAJ through BG, and warrant officers by grade and component, CW3 and CW4. Senior raters do not maintain a profile on officers in the ranks of MG, CPT, LT, and warrant officers in the ranks of CW5, CW2 and WO1. HQDA makes this information available to the senior rater or senior rater's designated representative for Active Component, USAR, and ARNGUS officers and warrant officers in applicable ranks (see appendix F).

a. For officers in applicable ranks, a senior rater profile will—

(1) Emphasize the importance of the senior rater's role to provide credible information to DA. This is one of the senior rater's most important actions, affects the Army's future leadership, and has great impact on how the Army accomplishes its missions.

(2) Emphasize the importance of a senior rater's sequencing reports. Within a senior rater's profile HQDA will always process reports in the order received.

(3) Provide information to DA 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 an Above Center of Mass (ACOM) percentage by grade and component of 49 percent or less (see DA Pam 623-3, table 2-7). Only one ACOM is allowed in any of the first four evaluations by applicable grade and component.

(4) Continue without interruption as the senior rater moves from job to job.

(5) Follows the senior rater upon retirement should the senior rater become a Department of the Army civilian and provide senior rater evaluations to Army officers and warrant officers in applicable ranks.

b. The front side of a senior rater profile consists of three sections: the top portion provides administrative data; the left side of the form provides current OER profile information (that is, profile information since the last restart); and the right side provides historical profile information (that is, cumulative, irrespective of any restart).

c. The reverse side of a senior rater profile provides a chronological list by name of all officers senior rated by the rating official and the HQDA electronically generated label applied to their reports (this allows senior raters the ability to "check the system" and track how their ratings are profiled at HQDA). Within a senior rater's profile HQDA will always process reports in the order they are received.

d. For assistance with managing their senior rater profiles Active Component senior raters are encouraged to use the Interactive Web Response System (IWRS). IWRS is designed to give adequate information to senior raters and their designated representatives. Users will need an Army Knowledge Online (AKO) login and password. IWRS is accessible at—

(1) The Army Human Resource Command-Alexandria home page (look for IWRS Flag icon), <https://www.hrc-army.mil>.

(2) Management Support Division Web page (HRC-Alexandria), <https://www.perscomonline.army.mil/tagd/MSD/msdweb.htm>.

(3) AKO Self-Service (S-1 My Personnel), <https://www.us.army.mil>. Reports written on ARNGUS and USAR officers not on extended active duty, including members in the AGR Program, are not included. These senior rater profiles are maintained separately by the NGB and HRC-St. Louis (see appendix F).

### **3-13. Senior rater profile restarts**

*a.* To restart an entire profile, a single grade or any portion of the profile, a senior rater will personally contact the Evaluation Systems Office of USA HRC (appendix F), HRC-St. Louis, or the NGB. No restart will be made until the senior rater and the Evaluation Systems Office agree to the effective date and grade(s) to be affected.

*b.* A senior rater may restart a profile in a particular grade and component only after—

(1) A total of 3 OERs have processed against that grade and component at HQDA (that is, completed processing through HQDA).

(2) Senior raters obtain permission/authorization from their senior raters.

(3) The senior rater has a documented misfire in the grade and component for restart. A documented misfire is an OER submitted to HQDA with a DA Form 67-9, Part VIIIb, ACOM box check not supported by the senior rater profile for that grade and labeled by HQDA as center of mass. The ACOM box check will still reflect in the profile numbers. HQDA will attempt to contact the senior rater in an effort to resolve the potential misfire before a misfire is documented. If the misfire cannot be resolved, a disciplinary letter will be sent by HQDA to the senior rater's senior rater.

*c.* Senior rater restarts will be effective the first day of the month following the restart request (for example, if senior rater calls HQDA on 2 November for a profile restart, the restart will be effective 1 December).

*d.* Profile restarts are keyed to the senior rater's signature date on DA Form 67-9. All incoming reports dated by the senior rater prior to the effective date of the restart will process, profile, and be labeled against the old profile. All reports dated on or after the profile restart date will process, profile, and be labeled against the new profile. A report may have the wrong profile applied if the senior rater fails to date the report and an arbitrary date is entered erroneously by the senior rater's representative or administrative office. This procedure does not determine the sequence in which OERs are placed on the senior rater profile (see DA Pam 623-3, para 2-11*d*) for how reports are processed and senior rater profiles are determined.

*e.* Reports are processed and profiles are applied as they are received from the field on a daily basis regardless of the THRU date of the report and the senior rater signature date except as described in para 3-13*d*.

## **Section IV**

### **Noncommissioned Officer Evaluation Assessments**

#### **3-14. Rater assessment**

The rater will assess the performance and potential of the rated NCO, using all reasonable means to prepare a fair, correct report that evaluates the NCO's duty performance, values/NCO responsibilities, and potential. The rater will enter the APFT and height and weight result entries on DA Form 2166-8, Part IVc.

#### **3-15. Senior rater assessment**

The senior rater's role is primarily to evaluate potential, overwatch the performance evaluation, and mentor subordinates. The senior rater will—

*a.* Use all reasonable means to become familiar with the rated NCO's performance throughout the rating period.

*b.* Prepare a fair, correct report evaluating the NCO's duty performance, professionalism, and potential.

#### **3-16. Reviewer assessment**

The reviewer will—

*a.* Ensure that the proper rater and senior rater complete the report.

*b.* 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 support the appropriate excellence, success, or needs improvement ratings in part IVb-f (see DA Pam 623-3, table 3-5).

(1) Indicate concurrence or nonconcurrence with rater and/or senior rater by annotating the appropriate box with a typewritten or handwritten "X" in part II and adding an enclosure (not to exceed one page), when the nonconcurrence box is marked (see DA Pam 623-3, table 3-2). When the reviewer determines that the rater and or senior rater have not evaluated the rated NCO in a clear, consistent, or just manner based on known facts, the reviewer's first responsibility is to consult with one or both rating officials to determine the basis for the apparent discrepancy.

(2) If the rater and/or senior rater acknowledge the discrepancy and revise the NCOER so that the reviewer agrees with the evaluation, then the reviewer checks the concur box in part II.

(3) If the rater and/or senior rater fail to acknowledge a discrepancy and indicate that the evaluation is their honest opinion, the reviewer checks the nonconcur box in part II. The reviewer then adds an enclosure that clarifies the situation and renders their opinion regarding the rated NCO's performance and potential.

(4) The reviewer may not direct that the rater and/or senior rater change an evaluation believed to be honest.

(5) In cases where neither the rater nor the senior rater is an NCO, the reviewer may find it useful to get additional informal input from the senior NCO subordinate to the reviewer.

## **Section V**

### **Academic Evaluation Responsibilities**

#### **3-17. Commandant responsibilities**

Commandants will ensure that—

- a. A copy of this regulation is available to the student and rating officials.
- b. Each rating official is fully qualified to meet their responsibilities.
- c. Reports are properly prepared.
- d. Each rating official knows how the students performed.
- e. Each student is provided a copy of the completed AER.
- f. Referred reports (DA Pam 623-3, para 4-7) are provided to the student for acknowledgment and comment before being sent to HQDA for processing to completion.
- g. Reports completed at the unit level arrive at HQDA not later than 60 calendar days after the THRU date of the report.

#### **3-18. DA Form 1059**

Academic evaluations report the accomplishments, potential, and limitations of individuals while attending courses of instruction or training. Only one AER will be authorized for each reporting period. The reporting official will be responsible for the accuracy of the information in the completed AER.

##### *a. Active duty personnel.*

(1) Service school and NCO academy commandants will be responsible for preparing DA Form 1059 within 60 days after the student's graduation or termination from the school or academy. In preparing these reports, all significant information that can be evaluated will be reported. The same care and attention will be exercised in preparing this report as is exercised in preparing officer and NCO evaluation reports.

(2) Evaluation reports will be submitted for individuals assigned a principal duty before the start of a course, between courses, or after a course. OER will be prepared for all officers and NCOER will be prepared for all NCOs, if appropriate, whose principal duties are other than a student. They will be submitted under the provisions of this regulation.

##### *b. Reserve Component personnel not on active duty.*

(1) The service school commandant for service school resident courses is responsible for preparing AERS for personnel under these criteria:

- (a) Successful course completion.
- (b) Unsatisfactory course completion.
- (c) For all USAR personnel, regardless of course length, those courses listed in 3-18b(1)(d), and all ARNG personnel for a course of 60 calendar days or more who attend—
  1. A formal resident course of full-time duty (ADT) and annual training (AT)
  2. Nonresident courses on inactive duty training (IDT).
- (d) Academic reports not authorized for Reserve Component (RC) personnel participating in—
  1. Senior RC officer course.
  2. Enlisted IADT.
  3. USMA Preparatory School.
  4. Officer Candidate Course.
  5. Refresher courses of less than 80 hours.

(e) Reports not required for initial ADT personnel attending their initial advanced individual training MOS-producing course following basic combat training or basic training (BT). If the honor graduate or distinguished graduate of the BT or basic training course is in initial ADT, the school commandant will send a letter to the appropriate State AG or area commander.

(2) The parent USAR school commandant or training division/brigade commanders will prepare an AER for each student in a USAR school/training division course. The report will be prepared under the criteria in paragraph 3-18,

except when the course length exceeds 1 year. An AER will be prepared for the student at the end of each academic year to include both the IDT and ADT phases.

(3) School commandants or training division/brigade commanders will ensure AER comments are based on observation of a student's qualities, strengths, weaknesses, deficiencies, and overall performance.

### **3-19. DA Form 1059-1**

Soldiers receive DA Form 1059-1 when they attend a civilian education, medical, or industrial institution. Specific responsibilities for these reports are listed below.

*a.* The U.S. Army Soldier Support Center is responsible for initiating DA Form 1059-1 for Active Army personnel going to a civilian institution on a permanent change of station of 20 weeks or more (see AR 350-1, AR 621-1, and AR 621-7.)

*b.* The parent or losing unit to which the individual is assigned is responsible for initiating a DA Form 1059-1 for personnel in a permissive temporary duty (TDY) status of less than 20 weeks.

*c.* USA HRC (AHRC-OPL-L) is responsible for initiating a DA Form 1059-1 for Soldiers attending civilian institutions under AR 351-23. The report will be submitted upon completion or termination of schooling or training excepted as noted below:

(1) Soldiers who graduated from law school under the Judge Advocate General's Funded Legal Educational Program AR 27-1 and Excess Leave Program will forward two copies of all law school grade transcripts and evidence that a law degree was conferred to HQDA (DAJA-PT), Washington, DC 20310-2206, 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.

(2) AMEDD Soldiers attending courses in long-term civilian education programs of more than 12 months under AR 351-3 will receive a DA Form 1059-1 as follows:

*(a)* The first report will be initiated 12 months after the beginning of the training program.

*(b)* An additional report will be prepared every 12 months thereafter or upon completion of the training, whichever occurs first.

*d.* The Installation Education Service officer will initiate and review DA Form 1059-1, if requested by an Active Army Soldier who has participated in a part-time after duty educational degree program. This may be done upon completions of all requirements for the degree. This report will be sent to HQDA for inclusion in the student's OMPF. An official transcript of grades will be attached to the AER before sending the report.

## **Section VI Restrictions**

### **3-20. Evaluation perimeters**

*a.* Each report will be an independent evaluation of the rated Soldier for a specific rating period. It will not refer to prior or subsequent reports. It will not remark on performance or incidents occurring before or after the period covered. 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 in paragraph 3-39.

*b.* Exceptions to this policy are granted only in the following situations:

(1) For Relief-for-Cause reports based on information pertaining to a previous reporting period. Example: A rating official may relieve a Soldier found to be involved in some illegal activity during a previous reporting period. They may refer to the prior rating period to explain the reasons for relief (paras 3-58 and 3-59).

(2) When the most recent APFT performance or profile data occurred prior to the beginning date of the report. This exception is allowed in order to comply with APFT and height and weight requirements (see DA Pam 623-3, tables 2-4 and 3-5).

### **3-21. Comments**

Comments will not exceed the space provided on DA Form 67-9, DA Form 2166-8, DA Form 1059, or DA Form 1059-1. In preparing their comments, rating officials will convey a precise but detailed evaluation to convey a meaningful description of an officer's performance and potential. In this manner, both Army selection boards and career managers are given the needed information on which to base a decision.

### **3-22. Prohibited narrative**

A thorough evaluation of the Soldier is required. The following techniques will, therefore, not be used:

*a.* Brief, unqualified superlatives or phrases, particularly if they may be considered trite.

*b.* Too brief comments. These frequently need to be interpreted by the selection board and the career manager. If not

correctly interpreted, the best interests of the Army and the rated soldier are not served. Some examples include, excessive use of technical acronyms or phrases not commonly recognized.

*c.* Bullet comments.

(1) Appropriate bullet comments are required for NCOERs. For example, "outstanding physical and mental toughness; Ranger or the year" or "performs brilliantly under fire and in the most austere conditions."

(2) Bullet comments are not acceptable for the OER or AER.

*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) Wide spacing between selected words, phrases, bullets or sentences to include double spacing within a paragraph or between paragraphs. Senior raters are not authorized any double-spacing between performance and potential comments.

(5) Italics and similar techniques.

(6) Bold or underlined text.

(7) Compressed type face or spacing.

(8) Handwritten comments. An exception is made for DA Form 67-9 OER, Parts Vb, Vc, and VIc for evaluations on MGs and CW5s, which may be handwritten in black ink. In order to be processed and placed on the individual's OMPF, reports with handwritten comments must be legible.

(9) Exaggerated margins ("picture framing"). Paragraph indentation (if not excessive) is an acceptable practice if applied as standard convention of English prose (OER only).

(10) Inappropriate references to box checks (OERs). Senior raters may not make references to a profiled box check.

(11) Specific selection board language.

### **3-23. Unproven derogatory information**

*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 the evaluation to HQDA. If the rated individual is absolved, comments about the incident will not be included in the evaluation.

*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 OMPF, such as—

(1) Charges that are later dropped.

(2) Charges or incidents of which the rated individual may later be absolved.

*d.* Any verified derogatory information may be entered on an evaluation. This is true whether the rated Soldier is under investigation, flagged, or awaiting trial. While the fact that a rated individual is under investigation or trial may not be mentioned in an evaluation until the investigation or trial is completed, this does not preclude the rating chain's use of verified derogatory information. For example, when an interim report with verified information is made available to a commander, the verified information may be included in an OER, NCOER, or AER. For all reports, if previously reported information later prove to be incorrect or erroneous, the Soldier will be notified and advised of the right to appeal the report in accordance with chapter 6.

*e.* Reports will not be delayed to await the outcome of a trial or investigation. Reports will be done when due and contain what information is verified at the time of preparation.

*f.* For OER, when previously unverified derogatory information is later verified, an addendum will be prepared in accordance with paragraphs 3-41 and 3-42 and forwarded to HQDA. Rating officials will initiate such addendum to report verified misdeeds or professional or character deficiencies unknown or unverified when the OER 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 completion of the investigation, imposition of punishment, or verification of the information.

### **3-24. Prohibited comments**

*a.* The use of inappropriate or arbitrary remarks or comments that draws attention to differences relating to race, color, religion, gender, age or national origin is prohibited. Subjective evaluation will not reflect a rating official's personal bias or prejudice (see AR 614-200).

*b.* When nonjudicial punishment is given and filed on the restricted fiche or locally under AR 27-10, paragraph 3-37, and AR 600-8-104, rating officials may not comment on the fact that such nonjudicial punishment was given to a rated Soldier. This does not preclude mentioning the rated Soldier's underlying misconduct that served as the basis for the nonjudicial punishment.

c. No remarks on an evaluation report will be made on performance or incidents occurring before or after the rating period except—

(1) Relief-for-Cause reports based on information pertaining to a previous reporting period. Example: A rating official may relieve a Soldier found to be involved in some illegal activity during a previous reporting period. They may refer to the prior rating period to explain the reasons for relief (paras 3-58 and 3-59).

(2) The most recent APFT performance or profile data occurred prior to the beginning date of the report. This exception allows the rated individual to comply with APFT and height and weight requirements (see DA Pam 623-3, tables 2-4 and 3-5).

### **3-25. Comments about marital status and spouse**

a. Any evaluation comments, favorable or unfavorable, will not be based solely 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, educational, or volunteer activities of a rated individual's spouse. For example, statements such as the following will not be permitted: "Mr. Doe's participation in post activities is limited by civilian employment," or "Mrs. Doe has made a significant contribution to Soldier morale by caring sponsorship of the hospital volunteer staff."

c. There are limited circumstances involving actual and demonstrable effect on the rated individual's performance or conduct when comments containing reference to a spouse may be made. These comments will be focused on the rated Soldier's actions, not those of the spouse. For example, statements such as the following will be permitted: "CPT Doe continued outstanding, selfless service, despite his wife's severe illness," or "COL Doe's intemperate public confrontations with his wife were detrimental to his status as an officer."

### **3-26. Classified reports**

Normally, reports will not contain classified information as defined in AR 380-5. Exceptional cases requiring classification will contain downgrading instructions under 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 (DDD 5200.2-R). The evaluation report will be marked so that doubt is eliminated as to which parts contain or reveal classified information.

### **3-27. 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 individual'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 Uniform Code of Military Justice will be governed by the laws and regulations pertaining to the particular action.

### **3-28. Participation in the Army Substance Abuse Program**

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 the 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 the ASAP—

a. Voluntary entry into the ASAP or successful rehabilitation will be mentioned as a factor to the rated Soldier's credit.

b. The rating chain will note status of a rated Soldier's rehabilitation progress or outcome in the current evaluation or in later reports.

### **3-29. Evaluation of special interest items**

a. In addition to the Special Interest Items mentioned in paras 3-4c(5) as a requirement for the counseling and evaluation processes, AR 600-20 allows that the following items to be mentioned in a Soldier's evaluation report, when substantiated by a completed command or other official investigation:

- (1) Involvement in a driving under the influence charge.
- (2) Physical or mental incapacitation.
- (3) Acts of sexual misconduct, physical, or mental abuse.
- (4) Criminal Acts reported in official military or civil authorities.
- (5) Behavior that is inconsistent or detrimental to the good order, conduct and discipline.
- (6) Adverse equal opportunity investigations.

(7) Acts of reprisal.

(8) Activities or behavior otherwise prohibited by AR 600-20.

*b.* The rated Soldier's participation in an official investigation and/or providing investigating officials information protected under the DoD Whistleblower Act and/or information provided to officials as part of official or unofficial investigations will not be mentioned on Army Evaluation Reports.

### **3-30. Performance as a member of a court-martial**

Duty as a member of a court-martial will not be considered in preparing an OER, NCOER, or AER.

### **3-31. Performance as counsel**

No rating official will give an unfavorable rating or comment regarding a rated Soldier because they zealously represented (as a 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 equal opportunity officer, either as a principal or additional duty, will not be given an unfavorable rating—

*a.* Because of enthusiasm and zeal for implementing the Army's Equal Opportunity Program.

*b.* In retaliation for criticism of command policies and practices related to that program.

### **3-33. Recalled retirees**

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, evaluations on recalled retirees will not be processed at HQDA. Rating chains can execute all aspects of the ERS as a communication and feedback tool to provide informal/unofficial performance feedback to retiree recalls on a local basis. Recalled retirees can serve as rating officials.

### **3-34. Referred reports (DA Form 67-9)**

The following types of reports will be referred to the rated officer by the senior rater for acknowledgment and comment before they are sent to HQDA (see DA Pam 623-3, paragraph 2-12, for detailed instructions and process for handling referred OER reports):

*a.* A relief for cause report submitted under the provisions of para 3-58.

*b.* Any report with negative remarks about the rated officer's Values or Leader Attributes/Skills/ Actions in rater's narrative evaluation.

*c.* Any report with a rating of "NO" in Part IVa-c.

*d.* Any report with an entry of "FAIL" in Part IVc, indicating noncompliance with AR 350-1; or an entry of "NO" indicating noncompliance with AR 600-9.

*e.* Any report with a performance and potential evaluation in Part Va of "Unsatisfactory performance. Do not promote" or narrative comments to that effect from any rating official.

*f.* Any report with a performance and potential evaluation in Part Va of "Other" where the required explanation has derogatory information.

*g.* Any report with a senior rater promotion potential evaluation of "Do Not Promote" in Part VIIa.

*h.* Any report with a promotion potential evaluation of "Other", in Part VIIa where the required explanation has derogatory information.

*i.* Any report with a senior rater potential evaluation in the bottom two boxes of Part VIIIb.

*j.* Any report with negative comments in Parts Vb, Vc, VI, or VIIc.

### **3-35. Referred reports (DA Form 1059 and DA Form 1059-1)**

*a.* The following types of reports will be referred to the student by the reviewing official for acknowledgment and comment. Detailed instructions and process for handling referred AER reports are in DA Pam 623-3, paragraph 4-7. The following types of reports will be referred:

(1) Any report with a "NO" response

(2) Any report with an "UNSAT" rating.

(3) Any report with a "marginally achieved course standards" response.

(4) Any report with a "Failed to achieve course standards" response. If this block in item 13 is checked, the preparing official will address (in item 16) whether the deficiency reflects on the character/behavior of the student or lack of aptitude in certain areas.

(5) Any report with comments that in the opinion of the reviewing official are so derogatory that the report may have an adverse impact on the student's career.

(6) (if entries are applicable) Any report with an entry of "FAIL" for the APFT or "NO" for height and weight indicating noncompliance with AR 600-9.

b. AER on students released from a course of instruction or degree program through no fault of their own (for example, medical or compassionate reasons), approved retirement, or resignation from the service will receive an AER and Item 11 will be left blank. It will not be referred and the circumstances will be fully explained in Item 14, Comments (DA Form 1059), or Item 11 (DA Form 1059-1).

### 3-36. Referral process

a. If referral is required (para 3-34 or 3-35), the senior rater will place an "x" in the appropriate box in part IId of the completed report (for example, when the senior rater has signed and dated the report). The report will then be given to the rated Soldier for signature and placement of an "x" in the appropriate box in part IId.

b. The rated Soldier may comment if they believe that the rating or remarks are incorrect. The comments will be factual, concise, and limited to matters directly related to the evaluation on the OER/AER; rating officials may not rebut rated Soldier's referral comments. Extraneous or voluminous material, material already contained in the Soldier's file and enclosures or attachments are not normally in the rated Soldier's best interest; and they, therefore, will be avoided. Any enclosures or attachments to rebuttal comments will be withdrawn and returned to the rated Soldier when the OER/AER is forwarded to DA.

c. The rated Soldier's comments do not constitute an appeal. Appeals are processed separately as outlined in chapter 6. Likewise, the rated Soldier's comments do not constitute a request for a Commander's Inquiry. Such a request will be submitted separately.

d. If the senior rater decides that the comments provide significant new facts about the rated Soldier's performance and that they could affect the rated Soldier's evaluation, they may refer them to the other rating officials. They, in turn, may reconsider their evaluations. The senior rater will not pressure or influence them. Any rating official who elects to raise their evaluation of the rated Soldier 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 evaluation report is changed but still requires referral, the report will again be referred to the rated Soldier for acknowledgment and new comments. Only the latest acknowledgment and comments (if submitted) will be forwarded to HQDA.

e. If the rated Soldier is unavailable to sign the OER for any reason or cannot be contacted and a written referral is required (para 3-34 or 3-35) the following procedure will be followed:

(1) The senior rater will refer, in writing, a copy of the completed report (for example, a report that has been signed and dated by the senior rater) to the rated Soldier for acknowledgment and comment (see DA Pam 623-3, fig 2-7, for a referral memorandum example). This will be done even if the rated Soldier has departed due to permanent change of station, retirement, or release from active duty. A reasonable suspense date will be given for the rated Soldier to complete this action. In this referral, the rated Soldier will be advised that their comment does not constitute an appeal or request for a Commander's Inquiry.

(2) On receipt of the rated Soldier's acknowledgment, the senior rater will attach it and the original or a signed copy of the referral letter to the original report and forward it to:

(a) The reviewer (if appropriate).

(b) The BN/BDE or administrative section or HQDA (as appropriate).

(c) The other rating officials if paragraph d above applies.

1. If the rated Soldier fails to respond within the suspense period, the senior rater will attach a signed copy of their referral to the original report and indicate either on the original referral or a second attachment that the rated Soldier failed to complete their acknowledgment. The senior rater will then send it to the reviewer. Reviewers will complete administrative review and forward to BN/BDE administrative section or HQDA as appropriate.

2. Senior raters will, when possible, refer reports to the rated Soldier before their departure.

3. A rated Soldier is responsible for leaving a current forwarding address or email address when they depart a unit. Mailing a referred OER/AER by certified mail to a Soldier's last disclosed mailing address is sufficient to constitute constructive service of a referred OER/AER. If an OER/AER sent by certified mail to an Soldier's last known forwarding address is returned indicating that the Soldier may not be reached at that address, the senior rater will attach a signed copy of the referral to the original report and indicate either on the original referral or a second attachment that the rated Soldier failed to complete the acknowledgment. The senior rater will then send it to the reviewer, BN/BDE administrative section or HQDA as appropriate.

### 3-37. Preparation and submission procedures

a. Reports listed below will be prepared according to procedures enumerated in DA Pam 623-3:

(1) DA Form 67-9, DA Pam 623-3, chapter 2.

(2) DA Form 2166-8, DA Pam 623-3, chapter 3.

(3) DA Form 1059 and DA Form 1059-1, DA Pam 623-3, chapter 4

b. Electronic applications producing OER, NCOER, or AER forms will use form templates and forms programs authorized by Army Publishing Directorate. Such authorization guarantees that the produced document will be

compatible with HQDA-level processing and document storage requirements. When produced in paper format, evaluations will be typed and, if necessary, printed using a laser or dot matrix printer, in either 10 pitch or elite (12 pitch) type face or 12 point for computers.

c. All completed reports and authorized enclosures will be forwarded to the appropriate HQDA authority in accordance with instructions provided in DA Pam 623-3, chapter 5. Appendix F of this regulation contains contact addresses and phone numbers for the receiving headquarters.

d. Evaluation reports forwarded by mail in paper format will be printed legibly on one sheet of paper, front and back, head to head. Good quality paper will be used. A clear original is required so that legible copies of the report can be given to both the rated individual and processed at HQDA. Evaluation reports will be returned if—

- (1) On poor quality and tissue-thin paper.
- (2) The entire form is not easily readable or does not fit an entire page (“framing”).

e. Evaluation reports forwarded by authorized electronic means to HQDA will meet the requirements of the authorized producing or transmitting application. A variety of authorized applications are contained and explained in DA Pam 623-3.

f. Signatures will be added per the following criteria:

(1) The rated Soldier and members of the rating chain are the only authorized persons to sign an evaluation report. Rated Soldiers and rating officials will not sign blank evaluation reports or have someone sign for them.

(2) Rated Soldiers will always be the last individual to sign the evaluation. The rated Soldier’s signature will verify the accuracy of the administrative data in Part I, to include nonrated time (see fig 3-1); the rating officials in Part II; the APFT and height and weight data; and that the rated Soldier has seen the completed report. This action increases administrative accuracy of the 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 after the rated soldier has signed it, the senior rater will ensure the rated soldier has an opportunity to see the evaluation.

### Examples of Evaluations where Soldier had unrated time

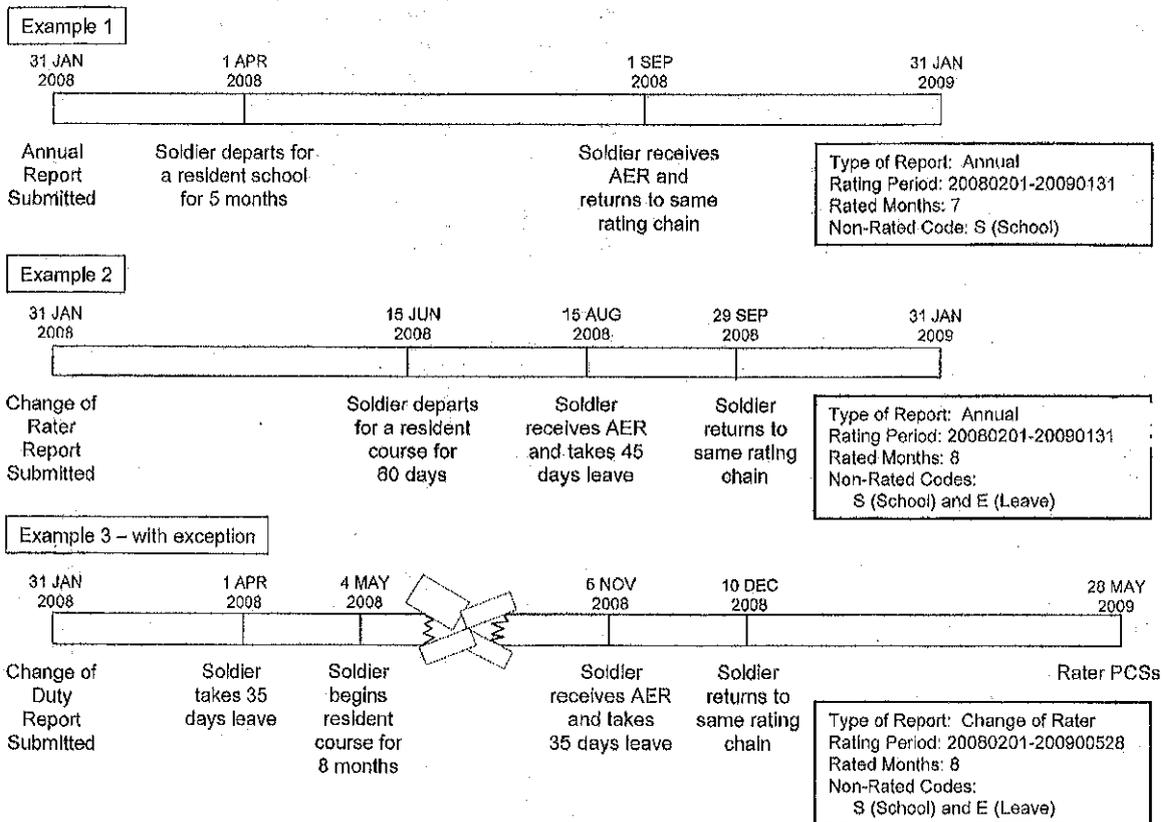


Figure 3-1. Example of nonevaluated time

(3) 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 report, however the report cannot be forwarded to HQDA until the THRU date of the report.

(4) For OERs, the senior rater's signature and date will not be before the rater's or intermediate rater's. The rated officer will not sign or date the report before the rater, intermediate rater, or senior rater. As a reminder, senior raters will take into account the senior rater profile restarts prior to dating the OER.

(5) For NCOERs, the reviewer's signature and date will not be before the rater's or senior rater's. The rated Soldier may not sign or date the report before the rater, senior rater, or reviewer.

(6) For AERs, the reviewer's signature and date will not be before the rater's. The rated Soldier may not sign or date the report before any other rating official.

(7) Signature formats will appear as follows:

(a) For hard copy reports, signatures will be in dark blue or black ink only.

(b) For authorized Army Publishing Directorate electronic applications, an electronic approval will be applied using only Army-authorized signature software.

1. Rating officials and rated Soldiers will use a Common Access Card to execute their electronic approval (it allows Soldiers and rating officials the highest level of identity assurance).

2. Once an evaluation report is electronically approved, any changes to content afterward will invalidate the electronic approval of the rated Soldier and/or relevant rating official and require the report to be revalidated (electronically approved) by the individual(s) whose content was changed. Understanding that evaluations may be processed without rated Soldier electronic approval, when this situation occurs, the senior rater will ensure the rated soldier has an opportunity to see the evaluation if significant changes are made.

(c) Submitting hard copy reports with a combination of hard signature and electronic approval will be authorized as long as all requirements of paragraph 3-37f are met.

g. Copies of evaluation reports will be handled in the following manner:

(1) The responsible senior rater or authenticating official's designated representative will provide each rated Soldier a copy of the report when it is completed locally and before the rated Soldier departs the organization. This copy may be either in paper or electronic format. If the Soldier departs before receiving such a copy, that responsible senior rater or authenticating official will send a copy of the completed evaluation to the rated Soldier's forwarding address or e-mail address.

(2) Rated Soldiers who fail to receive a copy of their evaluation after the close of the reporting period will request a copy from their senior rater.

(3) Copies of reports, used as originals to fill gaps for missing reports, regardless of the preparation medium, will be certified as a "Certified True Copy." Unless by exception, copies of reports will not be accepted by HQDA for final processing until after the number of days allotted for unit submission to HQDA has elapsed.

h. Forwarding of evaluation report will adhere to the following procedures:

(1) OERs will be forwarded to reach HQDA not later than 90 days for active duty reports and 120 days for USAR and ARNG reports after the ending day of the report. The centralized selection, promotion, and school boards schedule will be closely monitored to ensure that eligible reports, both mandatory and optional, are forwarded to HQDA in sufficient time to be included in an officer's board file.

(2) NCOERs will be forwarded to reach HQDA not later than 60 days for active duty reports and 90 days for USAR and ARNG reports after the ending day of the report. The centralized selection, promotion, and school boards schedule will be closely monitored to that ensure eligible reports, both mandatory and optional, are forwarded to HQDA in sufficient time to be included in a Soldier's board file.

i. OERs are processed and profiled and HQDA electronically generated labels are applied daily as the reports are received from the field, regardless of the THRU date of the report and the senior rater signature date (unless a profile restart is involved).

j. Senior raters are responsible for ensuring reports process at HQDA to final completion in the Soldier's OMPF in the desired sequence. A report failing to process in the sequence desired by the senior rater is not a basis for appealing the report. Because of the importance of properly sequencing reports to HQDA in accordance with the senior rater's intent, commanders will establish local procedures for submission of completed reports to HQDA, as outlined in DA Pam 623-3.

k. Reports received at HQDA after the required amount of time or past a suspense date set for a selection board is not an automatic basis for appealing either the report or selection board results. HQDA will process any valid report so as not to do disserve to the rated Soldier with an excessive amount of nonrated time. Complete-the-Record reports not received in a timely manner to HQDA will not be processed and will be returned. The absence of a Complete the

Record report from the OMPF 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.

### 3-38. Enclosures

#### *a. Enclosures to OERs.*

- (1) No enclosures, other than those listed below, will be attached to DA Form 67-9 when forwarded to HQDA:
  - (a) Supplementary reviewer's statement, as authorized by paragraph 2-18d (see fig 2-2).
  - (b) Orders substantiating rating official's authority to evaluate.
  - (c) Evaluations of JAGC officers detailed as judges or magistrates (see appendix D).
  - (d) Senior rater's letter of referral and the rated officer's acknowledgment and comments regarding a referred report (DA Pam 623-3, para 2-12 and fig 2-7).
  - (e) Statement from person directing relief for cause if other than rating official (para 3-58).
  - (f) Commander's statement, as authorized by chapter 6, section II.
  - (g) Statement from reviewer of relief report (para 2-19c).
  - (h) Other statements or documents directed by HQDA. These will be referred to the rated officer for comment prior to being filed.
  - (i) Senior Army member's approval of rater in joint headquarters/activities (para 2-5b(3)(c)).
- (2) When executed in paper format, enclosures to OERs will be prepared on 8.5-by-11-inch bond paper and attached to the report. As a minimum, the enclosure will contain—
- (a) The rated officer's full name, SSN, and grade.
  - (b) The period of report.
  - (c) The signature of the originator.
  - (d) Reason for the enclosure.
- (3) Awards, memoranda of relief addressed to the officer, memoranda of commendation or appreciation, medical documents, publications, statements by persons outside the rating chain, and any other favorable or unfavorable communications are not authorized enclosures.

#### *b. Enclosures to NCOERs.*

- (1) No enclosures, other than those listed below, will be attached to DA Form 2166-8 when forwarded to HQDA.
  - (a) Comments by the reviewer when nonconcurrency box in Part IId is marked (see para 2-17b and fig 2-1).
  - (b) Statement from person who directed Relief-for-Cause if other than rating official (see para 3-59).
  - (c) Thirty-day waiver approval for Relief-for-Cause report (see para 3-59).
- (2) When executed in paper format, enclosures to NCOERs will be prepared on 8.5-by-11-inch bond paper and attached to the report. As a minimum, the enclosure will contain—
- (a) The rated NCO's full name, SSN, and rank.
  - (b) The period of the report.
  - (c) Signature of the originator.
  - (d) Reason for the enclosure, that is, reviewer nonconcurrency (fig 2-1), 30-day relief waiver (fig 3-2), or relieving official's statement (fig 3-3).

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(Letterhead)

OFFICE SYMBOL

(Date)

MEMORANDUM FOR

SUBJECT: Thirty-Day Minimum Waiver for Rendering a Relief-for-Cause NCOER

1. Under the provisions of AR 623-3, paragraph 3-58, I grant authority for the 30-day minimum waiver based on (include substantiated information).
2. (Point of Contact name and telephone number).

(Signature Block)

First General Officer in chain of command  
or officer having general courts-martial  
jurisdiction over relieved NCO

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Figure 3-2. Sample format of a 30-day minimum waiver for Relieve-for-Cause NCOER

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(Letterhead)

OFFICE SYMBOL

(Date)

MEMORANDUM FOR Rated Soldier's name, grade, SSN and period of report

SUBJECT: Relief for Cause Report Directed by an Official Other Than Rater or Senior Rater

1. Under the provisions of AR 623-3, para 3-58 (OER) or AR 623-3, para 3-59 (NCOER), I am relieving you of command/your duties as . . . (include substantiated information describing the reason for the relief).

2. (Point of Contact name and telephone number).

(Signature Block)  
Relieving Official

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Figure 3-3. Relieving official's statement

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(3) Awards, memoranda of relief addressed to the NCO, memoranda of commendation or appreciation, medical documents, publications, statements by persons outside the rating chain, and any other favorable or unfavorable communications are not authorized enclosures.

*c. Enclosures to AERs.*

(1) No enclosures, other than those listed below, will be attached to DA Form 1059 or DA Form 1059-1.

(a) Reviewer's letter of referral and the rated officer's acknowledgment and comments regarding a referred report (DA Pam 623-3, para 4-7 and fig 2-7).

(b) Official transcripts if required for DA Form 1059-1 after participation in part-time after duty educational degree programs.

(c) AER letter issued by a fellowship sponsor when a rated Soldier is attending a resident fellowship at a civilian institution.

(2) Awards, memoranda of relief addressed to the Soldier, memoranda of commendation or appreciation, medical documents, publications, statements by persons outside the rating chain and any other favorable or unfavorable communications are not authorized enclosures.

### 3-39. Modification to previously submitted reports

*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.

(3) Represent the considered opinions and objective judgment of the rating officials at the time of preparation.

*b.* Requests that an evaluation report in a Soldier's OMPF be altered, withdrawn, or replaced with another report

will not be honored. The following will not be used to alter or withdraw a report or be included in the rated individual's OMPF:

- (1) Statements from rating officials that they underestimated the rated Soldier.
  - (2) Statements from rating officials that they did not intend to rate the rated Soldier as they (rating officials) did.
  - (3) Requests that ratings be revised.
  - (4) Statements from rating officials claiming administrative oversight or typographical error in recording block selection indicating professional competence, performance, or potential. Therefore, it is imperative that rating officials ensure that these evaluations are accurately recorded on the OER, NCOER, or AER prior to signing that report.
  - (5) Statements from rating officials claiming OERs were improperly sequenced from the field to HQDA.
  - (6) A subsequent statement from a rating official that he/she rendered an inaccurate evaluation of a rated Soldier's performance or potential in order to preserve higher ratings for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for appeal.
- c. An exception to paragraph 3-39b is granted for OERs only when—
- (1) Information that was unknown or unverified when the report was prepared is brought to light or verified.
  - (2) This information is so significant that it would have resulted in a higher or lower evaluation had it been known or verified when the report was prepared.

### **3-40. Newly received favorable information**

If rating officials become aware of information that would have resulted in a higher evaluation of a rated Soldier, they will take action to alter or remove the report in accordance with the appeal policy stated in chapter 6 and procedures in DA Pam 623-3, chapter 6. Rating officials will precisely specify the new information, how it was obtained, whether it was factually confirmed, or how it would change the evaluation had it been considered in writing the original report. Addenda will not be used to report this type of information. The rated Soldier may be provided with a statement by the rating official who discovered the new favorable information, and that statement could be used in the rated Soldier's appeal.

### **3-41. Newly received derogatory information for officer evaluation reports**

Rating officials will submit an addendum to a previously submitted report when they become aware of new information that would have resulted in a lower evaluation of the rated officer.

a. The first commander in the officer's current chain of command who receives new information about a rated officer will ensure that all members of the original rating chain, on the report encompassing this new information, are aware of it and are allowed to comment. If none of the original rating officials wants to change or add to the original OER, no addendum will be prepared.

b. The addendum will be prepared as shown in DA Pam 623-3, para 2-15 and figure 5-1. It will contain the rated individual's name, grade, SSN, and the period of the OER to which it applies. It will also state that all members of the rating chain have been allowed added comments; and it will list those who did not want to comment.

c. On completion of this action, the commander will refer a copy of the addendum to the rated officer for acknowledgment and comment before sending it to HQDA. If any of the rating officials have been released from active duty, incapacitated, or are otherwise unable to complete their part of an addendum, the commander will so indicate. Specific instructions for referral are detailed in paragraph 3-36.

d. If not a member of the original rating chain, the commander's responsibility is only to coordinate the submission of the addendum. The commander may not add comments to the addendum unless as a member of the original rating chain.

### **3-42. Newly received derogatory information for academic evaluation reports**

Rating officials will submit an addendum to a previously submitted report when they become aware of new information that would have resulted in a lower evaluation of the rated officer.

a. The commander/commandant receiving the new information about a rated student will ensure that all members of the original rating chain on the report encompassing this new information are aware of it.

b. The addendum will be prepared as shown in DA Pam 623-3, figure 5-1. It will contain the rated individual's name, grade, SSN, and the period of the AER to which it applies. It will also contain details of the act or incident, a summary of the investigation findings, action taken by the appointing authority.

c. If both the preparing officer and the reviewing officer are reassigned prior to completing an investigation involving the rated student or before punitive action is taken, the appointing authority or the commander imposing the punishment will inform the preparing officer of the results to comply with the above requirement.

d. The addendum will be sent to the reviewer of the previously submitted AER for concurrence or comment.

e. Upon completion and authentication of this actions, the reviewing officer will—

(1) Refer a copy of the addendum to the rated student for acknowledgment and comment before sending it to HQDA. If any of the rating officials have been released from active duty, incapacitated, or are otherwise unable to

complete their part of an addendum, the commander will so indicate. Specific instructions for referral are detailed in paragraph 3-36.

(2) Submit the addendum to the appropriate processing HQ.

f. If circumstances preclude the reviewing officer from forwarding the addendum directly to the rated student it may be forwarded through HRC or the State AG.

g. If not a member of the original rating chain the commander's responsibility is only to coordinate the submission of the addendum. The commander may not add comments to the addendum unless a member of the original rating chain.

## **Section VII**

### **Mandatory Reports**

#### **3-43. Basic rules**

a. OER reports listed in this section are required if the rated officer has completed at least 90 calendar days in the same position under the same rater during the same rating period. On these reports the rater will complete the evaluation; however, intermediate raters and senior raters will evaluate only if they have the required 60 calendar days in the rating chain. Codes and reasons for submission are addressed in DA Pam 623-3, chapter 2.

b. NCOER reports in this section are required if the rated NCO has completed at least 90 calendar days in the same position under the same rater during the same rating period. On these reports, senior raters will evaluate if they have the required 60 calendar days in the rating chain. No minimum time period is required for reviewer qualification. Codes and reasons for submission are addressed in DA Pam 623-3, chapter 3.

c. Continuous, extended periods of nonrated time on an OER or NCOER require special considerations. When a Soldier has received a report within 90 days of starting a continuous, greater-than-9-months period of nonrated time on an OER or NCOER because of schooling, AER, patient status, or any other reason covered by nonrated code where the Soldier is not performing duties at an assigned unit, the FROM date for the next report will be one day after the THRU date of last OER/NCOER reflected on the file. However, the rated months will be calculated on the basis of the date of arrival under a valid unit rating scheme. Resulting reports can reflect a rating period greater than 12 months (they include the nonevaluated time), but the rated months cannot exceed 12 months of evaluated time. Examples are shown in figure 3-1.

#### **3-44. Change of rater**

a. An OER report is mandatory when the rated officer ceases to serve under the immediate supervision of the rater and minimum rating qualifications have been met.

b. An NCOER report 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 corporal/specialist or below. Reduction to another NCO grade does not require a report.

(3) The rated NCO is separated from active duty. As an exception, retirement reports of less than 1 year will be rendered at the option of the rater or senior rater or when requested by the rated NCO.

c. Officers who experience a permanent change of station (PCS) or REFRAD will use a Change of Duty report (see para 3-47) vice this type of report.

d. A change of rater report will be submitted on a rater's subordinates when there is a loss of a rater as a rating chain member, described in paragraph 2-20. THRU dates on these reports will be date of the incident, when the rater 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 2-20 addressees rating chain rules and restrictions.

e. When a rated NCO is declared missing or becomes a prisoner or hostage, a report is required as of the date of the incident. Under these situations, rating chain time minimums 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 Uniform Code of Military Justice, will be governed by the laws and regulations pertaining to the particular action.

f. A report is mandatory when the rated noncommissioned officer is separated from active duty. As an exception, retirement reports of less than 1 year will be rendered at the option of the rater or senior rater or when requested by the rated Soldier. If the rated soldier is retiring, or is being released to the USAR after 20 or more years of active duty, the rater will indicate in their comments in DA Form 2166-8, Part IVb, the grade and assignment for which the rated noncommissioned officer will be recalled to active duty in the event of mobilization.

### **3-45. Annual**

*a.* For OERs and NCOERs, an annual evaluation report is mandatory for a rated Soldier on completion of 1 calendar year of duty following the THRU date of the last OER or NCOER in the Soldier's OMPF.

(1) If 1 year has elapsed and the rated Soldier has not performed the same duty under the same rater for 90 calendar days, an extended annual (para 3-46) will be submitted.

(2) If the rated Soldier has gone TDY to attend a school and the annual report is due, the Depart TDY report (para 3-48) may be prepared and processed before departing to reestablish an annual cycle or an extended annual report (para 3-46) may be prepared upon return to the same rating officials.

*b.* Specific for NCOERs (DA Form 2166-8), an annual report will be submitted—

(1) One calendar year after the effective date of promotion to sergeant.

(2) Upon reversion to NCO status after serving as a commissioned or warrant officer for 12 months or more.

(3) Upon reentry on active duty in a rank of sergeant or above after a break in enlisted service of 12 months or more.

### **3-46. Extended annual report**

There are two types of extended annual reports.

*a.* An extended annual report will be prepared if 1 year has elapsed and the rated Soldier has not performed the same duty under the same rater for 90 calendar days. This extended annual report will be only 90 evaluated days.

*b.* An extended annual report can be prepared in cases when mandatory reports (for example, annual, change of duty/rater) come due while Soldiers are attending schooling (AERs counting as nonrated time on an evaluation report). This report may be submitted to alleviate the need for a mandatory report while at school. The total number of evaluated months (rating period minus nonevaluated time) will be no more than 12 months even though the rating period (FROM to THRU dates) may be longer. Also, in these circumstances, when a mandatory report comes due while a Soldier is on TDY to attend a school, a depart TDY report is also an option (para 3-48).

### **3-47. Change of duty**

*a.* An OER Change-of-Duty report is mandatory when the rated officer has a change of principal duty, even though the rater remains the same. This paragraph is used for all reassignments, including PCS. No report is submitted when organizational changes merely alter the rated officer's principal duty title but do not change the type of work performed (for example, Personnel Management Staff Officer to Assistant G1). A report will be submitted when organizational changes result in a change of rater (see para 3-44).

*b.* A report is mandatory when the rated officer is separated from active duty. As an exception, retirement reports of less than 1 year will be rendered at the option of the rater or senior rater or when requested by the rated officer. If the rated officer is retiring or is being released to the USAR after 20 or more years of active duty, the rater will indicate in their comments on DA Form 67-9, Part Vc, the grade and assignment for which the rated officer or warrant officer will be recalled to active duty in the event of mobilization (see DA Pam 623-3, table 2-5).

*c.* When the rated officer is declared missing or becomes a prisoner or hostage, a report is required as of the date of the incident. Under these situations, rating chain time minimums do not apply. Evaluations will not be rendered on officers 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 Uniform Code of Military Justice will be governed by the laws and regulations pertaining to the particular action.

*d.* Provisions of this paragraph do not apply to NCOs.

### **3-48. Depart temporary duty, special duty, or temporary change of station**

An OER or NCOER will be submitted on rated Soldiers by the rating officials in the organization from which the rated Soldiers depart when they depart on temporary duty (TDY), special duty (SD), or temporary change of station (TCS) to perform duties not related to the rated Soldiers' primary functions in their units; 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 report is not required before departure on TDY for schooling (AER producing or otherwise).

*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 mandatory reports (Annual, change of duty/rater) come due while Soldiers are attending schooling (AERs counting as nonrated time on an evaluation report), this report may be submitted to alleviate the need for a mandatory report while at school. Also, in these circumstances an extended annual is also an option (para 3-46).

*c.* A report 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.* An individual attached to an organization pending compassionate reassignment remains responsible to the parent

unit and will not receive an evaluation report 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).

### 3-49. Supervisor evaluations for temporary duty, special duty, or temporary change of station

Rated Soldiers on TDY, SD, or TCS who are not responsible to their parent organization will be rated by their TDY, SD, or TCS supervisors according to rating chain requirements (see para 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 67-9-1 is initiated on the rated officer or DA Form 2166-8-1 is initiated on the rated NCO. TDY, SD or TCS supervisors are not authorized to render any type of evaluation report for periods of fewer than 90 calendar days unless otherwise authorized as an exception.

Period of TDY, SD or TCS	Required Evaluation	Optional Evaluation	Dispositions
0 to 59 days	None	Letter of input to rater	Note no. 1
60 to 89 days	Letter of input to normal rater	None	Note no. 2
90 days or more		Evaluation report	Note no. 2

Notes:

<sup>1</sup> Letter of input is prepared by the TDY, SD, or TCS Supervisor and sent to the rated officer's normal rater. The normal rater will consider this information when they prepare the rated officer's next OER. The letter of input will not be enclosed with the OER when it is forwarded to HQDA.

<sup>2</sup> A complete report is prepared as a change-of-duty report by the TDY, SD, or TCS supervisor and forwarded to DA by the senior rater.

<sup>3</sup> Periods of TDY or SD to attend school are exempt from the above requirements. Attendance at courses of instruction is evaluated on Academic Evaluation Reports and, as such, is counted as nonrated time on the next OER or NCOER.

### 3-50. Officer failing selection for promotion

a. An officer who fails to be selected for promotion by an active-duty promotion board will receive an OER report prior to the next promotion board of the same type. The following conditions will be satisfied:

(1) The rated officer has not received an OER since the convene date of the board that did not select the officer for promotion.

(2) The rating period must cover 90 or more calendar days as of the date in a DA 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-the-Report (para 3-60).

(3) The minimum time requirements for the rater are satisfied.

b. This requirement 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 a DA Selection Board for promotion to the grades of BG or MG.

d. The provisions of this paragraph do not apply to NCOs.

## Section VIII

### Mandatory reports other than 90-day minimum

#### 3-51. Basic rule

Reports will be prepared on the following occasions. Specific time requirements, if any, are listed with each condition causing a report to be written.

#### 3-52. Academic evaluation

DA Form 1059 (AER) is used to report the performance of students attending Army service schools, DOD schools, USAR schools, NCO academies, allied nation schools, and Reserve Component chaplain candidates for training (IDT), as well as formal school status as prescribed below. Time covered in AER producing schools is nonrated on the OER or NCOER that covers the same period. Only one AER will be submitted for each reporting period. DA Pam 623-3, chapter 4, contains processing instructions. AERs will be forwarded to the proper headquarters in accordance with appendix F and will be posted in the rated Soldier's OMPF.

a. An AER is required for the following:

(1) For Army personnel attending the U.S. Army War College or taking senior service college courses sponsored by

other services or allied nations. Students who are awarded the Master of Strategic Studies degree will have an entry entered on the AER in Item 14 (see DA Pam 623-3, para 4-6).

(2) For Active Army and RC officers enrolled in the U.S. Army War College Corresponding Studies Course upon graduation.

(3) For Active Army personnel and personnel of other services attending courses or training scheduled for 60 calendar days or more.

(4) For Active Army commissioned officers attending branch officer courses. The AER will address both the basic core course and the Army operation center (AOC) training when the latter course follows the first. Only if the AOC is scheduled for 60 or more days may a separate report be rendered.

(5) For dietetic internship, occupational therapy clinical affiliation, and the U.S. Army-Baylor Program in Physical Therapy, discussed in AR 601-130, paragraph 5-1.

(6) For all branch transition courses regardless of length.

(7) For Active Army warrant officers, all senior warrant officer, and master warrant officer training courses, regardless of length.

(8) For officer courses of fewer than 60 days requiring an AER as listed, by school:

(a) Air Defense Artillery:

1. Chaparral/Vulcan Officer Qualification Course, 2E-14B.
2. Nike Hercules Officer Course, 2F-14C.
3. Improved Hawk Officer Organizational Maintenance Supervisor 4F-223BT.
4. Improved Hawk Fire Control Maintenance Transition 121-24ET.

(b) Armor:

1. Armor Officer Basic RC.
2. Army Officer Advanced Course for USAR School, Phases I and II.

(c) Aviation: Aviation Officer Basic Course, Phases I and II.

(d) Chaplain:

1. Chaplain Officer Basic Course.
2. Chaplain Reserve Component General Staff Course.
3. Chaplain Officer Mobilization.

(e) Chemical: Chemical Officer Advance (RC), Phase IV, VI.

(f) Field Artillery: Field Artillery Officer Basic RC.

(g) Quartermaster:

1. QM Officer Fuel and Energy Management.
2. QM Officer Advanced General Troop Support Material Management.

(h) Signal: Tactical Signal Staff Officer Course.

(i) Transportation and Aviation Logistics:

1. Transportation Officer Basic.
2. Master Driver Certification Course.

(j) Army Medical Department, Academy of Health Sciences.

(9) For Phase I and II of the Physician Assistant Training Program, which are exceptions to the prohibition against require reports for precommission /appointment courses.

(10) For Enlisted personnel holding a primary Military Occupational Specialty (PMOS) awarded by previous training, advanced individual training, or on-the-job trainees who attend another MOS-producing course.

(11) For All enlisted personnel taking NCO education system courses (regardless of length or component), to include—

(a) Primary Leadership Development Course (PLDC) (Active Component (AC) or Reserve Component (RC)).

(b) Basic Noncommissioned Officer Course (BNCOC) (AC or RC).

(c) Advanced Noncommissioned Officer Course (ANCOC) (AC or RC).

(d) U.S. Army Sergeant Major Course.

(e) First Sergeant Course, 521-SQ1M.

(f) Battle Staff NCO Course, 000-ASI2S at the U.S. Army Sergeant Major Academy.

(12) For all ARNG and USAR personnel taking courses at Army services schools or colleges, except trainees attending their initial active duty for training.

(13) For Active Army personnel granted constructive or equivalent school credit by the CG, USA HRC, Commander, U.S. Army Health Professional Support Agency, The Judge Advocate General (TJAG), Chief of Chaplains, and Commander, U.S. Army Training and Doctrine Command. Request will be forwarded to the appropriate career management division under AR 351-1.

(14) For All RC (USAR and ARNG) chaplain candidates serving in drill status will receive a report every 6 months

for unit training assemblies, one completed after annual training, and others as required under regulations for resident and nonresident courses.

b. DA Form 1059 is not authorized for either Active Army or ARNG personnel meeting the following conditions:

(1) For Active Army students in good academic standing who voluntarily withdraw from an elective course of instruction requiring an AER, short of completion, a letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the school commandant to HRC, ATTN: AHRC-(appropriate career branch), for use as deemed appropriate by the CG, HRC; Office of The Surgeon General, TJAG, and the Chief of Chaplains, as appropriate. The time will be declared nonrated on the next OER/NCOER.

(2) For 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-Alexandria (AHRC-OBE-V), for use as deemed appropriate by CG, HRC-Alexandria. The time will be declared nonrated on the next OER/NCOER.

(3) For students who are volunteered for but either withdrew or were eliminated from Special Forces Qualification Course (and related corollary courses) a letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the school commandant to AHRC, ATTN: AHRC-(appropriate career branch), for use as deemed appropriate by CG, AHRC, Office of The Surgeon General (OTSG), The Judge Advocate General (TJAG), and the Chief of Chaplains, as appropriate. The time will be declared nonrated on the next OER/NCO-ER.

(4) For courses of instruction or training of fewer than 60 calendar days, except those described above.

(5) AMEDD first-year postgraduate medical and dental education internships, residencies, and fellowships at Army installations (AR 351-3 and AR 601-130).

(6) TJAG's Funded Legal Education Program (AR 27-1) and TJAG's Excess Leave Program (see AR 601-114; a transcript of grades is required).

(7) Enlisted personnel attending initial entry training courses (basic training) or advanced individual training leading to the award of their initial MOS to include reentry personnel.

(8) Defense language institute courses for enlisted personnel in the rank of SPC/CPL and below at the time of graduation.

(9) Precommission/appointment course (for example, United States Military Academy Preparatory School, Officer Candidate School, and Warrant Officer Candidate School with followon proponent certification course), except Phase I and II of the Physician Assistant Training Program, which are exceptions and require reports.

c. DA Form 1059 is not authorized for USAR participating in—

(1) Senior RC Officer course.

(2) Enlisted initial active duty for training.

(3) USMA Preparatory School.

(4) Officer Candidate School.

(5) Refresher courses of fewer than 80 hours.

### 3-53. DA Form 1059-1

A DA Form 1059-1 will be submitted for Active Army, USAR, and ARNGUS officers in an active duty status who participate in a full-time (on duty) degree or degree completion program at an educational, medical, or industrial institution. Additionally, reports will be submitted—

a. For Active Army officers 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 an officer's primary duty.

b. For voluntary participation of rated individuals, Active Army, USAR serving in an active status, and ARNGUS serving in 10/32 USC active status and—

(1) Attending night classes at a civilian institution or university and the individual's primary place of duty is performing full-time or part-time military duties with a unit or organization.

(2) This information will not be used against the rated individual to indicate a down-turn in performance.

c. For courses of instruction that exceed 1 year, when an interim DA Form 1059-1 will be prepared annually for all doctorate programs. The interim report will comment on the student's progress at the time of preparation. A final report will be prepared and submitted upon completion or termination of schooling or training. Master-level programs will receive only a final report, unless schooling exceeds 24 months.

### 3-54. Initial tour of extended active duty

An OER report will be prepared only for AMEDD and JAGC commissioned officers under specified circumstances.

a. Specified circumstances requiring a report include officers who are—

(1) Serving an initial tour of active duty in the Army (other than active duty for training or RC officers serving on statutory tours under 10 USC 175, 3021, 10211, 12301(d), and 12402.

(2) Reentering active duty after a break in service of at least 1 year.

(3) Completing law school under TJAG's Funded Legal Education Program (AR 27-1) (see appendix D).

(4) Army Medical Specialist Corps officers serving on an initial tour of extended active duty in the Army following completion of the dietetic internship, Occupational Affiliation Program, or U.S. Army Baylor University Program in Physical Therapy, or Physician Assistant Program.

b. This report will not be prepared for—

(1) Any officer not included in 3-54a.

(2) Any officer included in 3-54a who has already received an OER under some other provision of this regulation on their current tour of duty. Other reports due prior to completion of 120-day initial reports take precedence over the initial tour report. In those cases, the 120-day initial report will not be completed.

(3) AMEDD interns or affiliate students.

(4) MSC clinical psychology interns.

(5) Those first-year residents who entered residency training immediately on entry to active duty.

c. The period covered by an initial report will begin with the date of entry on current active duty or the date following the last academic report or a report submitted according to paragraph E-4 (see para 3-2 for OBC requirements). The report period will end upon completion of 120 calendar days (excluding nonrated days) in the same principal duty assignment under the same rater. Other rating chain time minimums apply.

d. The provisions of this paragraph do not apply to NCOs.

### **3-55. Application for Active Army appointment**

a. An OER report will be required when an active-duty officer applies for appointment in the Active Army. This applies only if the applicant has completed fewer than 5 years Active Army commissioned or warrant officer service and has not been rated during the 90 days immediately preceding the date of application (AR 601-100, para 2-25b). Rating officials will meet the minimum time requirements.

b. The provisions of this paragraph do not apply to NCOs.

### **3-56. Funded Legal Education Program officers participating in on-the-job training**

a. An OER report will be required when an officer taking part in TJAG's Funded Legal Education Program (AR 27-1) completes on-the-job training (OJT) of 31 or more calendar days. 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 report per year. OERs for officers who perform on-the-job training of 30 or fewer days may be submitted at the option of the rating officials. Rating chain time minimums do not apply (see appendix D).

b. DA Form 1059-1 will be prepared at least annually for Funded Legal Education Program officers attending a civilian academic institution if not performing OJT. For example, a JAGC officer is taking classes to complete a legal degree or affiliated with a civilian university pending successful completion of a State bar exam.

c. The provisions of this paragraph do not apply for warrant officer OERs and NCOERs.

### **3-57. U.S. Army Human Resources Command directed evaluation report**

For evaluation reports when HRC decides there is a need for a report (para 1-4a(3)) and other provisions of this chapter do not apply, HRC may direct that a report be submitted. The command directed report code will be used. In extremely rare instances, commanders may request that HRC direct a report under provisions of this paragraph. Requests will be sent to CDR, HRC-Alexandria (ATTN: AHRC-MSE), 200 Stovall Street, Alexandria, VA 22332-0442.

### **3-58. Relief for cause (DA Form 67-9)**

An OER report is required when an officer or warrant officer is relieved for cause regardless of the rating period involved. 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 shown in DA Form 67-9, Part IV. These standards will apply to conduct both on and off duty. The following are additional considerations for these reports:

a. If, for whatever reasons, the relief does not occur on the date the officer is removed from duty position responsibilities, the period of time between the removal and the relief will be nonrated time included in the period of the relief report. The published rating chain at the time of the relief will render the report at the time of the relief; no other report 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 non-rated 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 of suspension is nonrated time. If the rated officer is suspended and subsequently placed back to duty (not relieved), the period of suspension is recorded as evaluated time on the next OER.

c. If 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 report will also be referred to the rated officer as described in paragraph 3-34. 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.* See DA Pam 623-3, paragraph 2-13, for specific instructions that apply to completing a Relief-for-Cause report.

*e.* If, after a relief report has been submitted to HQDA, additional significant information becomes available, the provisions of paragraphs 3-38, 3-39, and 3-40 will apply.

*f.* A rating official may relieve an officer because of information received about a previous reporting period. For example, a rating official receives information from a completed investigation into a past incident and will relieve the officer from their present position or to process them for elimination. When this occurs, the following provisions apply:

(1) A relief 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, paragraph 2-13*a*, 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 3-38, 3-39, and 3-40.

*g.* The minimum time requirements for rating officials do not apply. All rating officials will evaluate; however, any rating official who has not directed the relief, and does not agree with the relief, may state a nonconurrence in the proper narrative portion of the report.

### **3-59. Relief-for-Cause (DA Form 2166-8)**

An NCOER report is required when an NCO is relieved for cause regardless of the rating period involved. Relief-for-Cause is defined as the removal of an NCO from a rateable 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 (see AR 600-20, para 2-15). Additional considerations for these reports are described below.

*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 report. The published rating chain at the time of the relief will render the report; no other report 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 non-rated 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 Relief-for-Cause 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 will be the final action after all investigations have been completed and a determination made.

*d.* See DA Pam 623-3, paragraph 3-9, for specific instructions that apply to completing a Relief-for-Cause report.

*e.* 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 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 a 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 report (see para 3-38 and fig 3-2).

*f.* The rating official directing the relief will clearly explain the reason for the relief in his/her portion of the NCOER. 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 report (see fig 3-3).

## **Section IX**

### **Optional Reports**

These reports are submitted at the option of rating officials.

### **3-60. Complete-the-Record reports**

Complete-the-Record reports are optional. Therefore, the absence of such a report from the OMPF at the time of the

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 ARNGUS and USAR Command Sergeant Major Programs and ARNGUS and USAR promotion boards centralized at State or Major United States Army Reserve Command headquarters, NGB, and HRC-St. Louis.

a. *DA Form 67-9*. A Complete-the-Record report may be submitted on a rated officer who is about to be considered by a DA selection board for promotion, project manager, school, or command (battalion or brigade level) provided the following conditions are met:

(1) The rated officer will be in or above the zone of consideration for promotion.  
(2) The rated officer will have served for a minimum of 90 calendar days (excluding nonrated periods) in the same position under the same rater as of the Complete the Record date announced in the DA message announcing the zones of consideration.

(3) All other rating chain time minimums apply.

b. *DA Form 2166-8*. A Complete-the-Record Report may be submitted on a NCO who is about to be considered by a DA centralized 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 been under the same rater for at least 90 rated days as of the ending date established in the message announcing the zones of consideration.

(3) All other rating chain time minimums apply.

(4) The rated NCO will not have received a previous report for the current duty position at the current organization.

### **3-61. Senior rater option reports**

a. For DA Form 67-9 and DA Form 2166-8, when a change in senior rater occurs, the senior rater may direct that a report be made on any officer whom they senior rate. 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.

(2) The rater meets the minimum requirements to give a report.

(3) The Soldier has not received a report in the preceding 90 calendar days.

b. When an evaluation report is due within 60 calendar days of the change in senior rater, the senior rater will submit a senior rater option report to prevent that OER or NCOER being submitted without a senior rater evaluation.

### **3-62. Sixty-day option reports**

When one of the conditions described in paragraphs 3-44 through 3-47 occurs, and there are fewer than 90 calendar days but more than 59 calendar days (excluding nonrated periods) in the rating period, a report on rated Soldiers may be initiated at the option of the rater. However, the following conditions will be met:

a. The rated Soldier will be serving in an overseas designated short tour for a period of 14 months or less (see AR 614-30 and app B for "all others" tour identification by area) or designated in the Personnel Planning 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 report. When the senior rater disapproves the submission of the report, the basis for the disapproval will be stated and the report returned through the rating chain to the rater. The rater will inform the rated individual that the report has been disapproved and destroy the report.

### **3-63. Rater option reports (DA Form 67-9 only)**

When one of the conditions described in paragraphs 3-44 through 3-47 occurs but there are fewer than 90 calendar days (excluding nonrated periods) in the rating period, 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. For example: An officer received an annual OER on 31 March. The rated officer departs PCS on 22 May. The rating period is 51 days. If those 51 days were spent in the same duty position under the same rater as shown on the report ending 31 March, the rater may, at their option, render a report for the period 1 April-21 May. All other rating chain minimums apply.

## Chapter 4 U.S. Army Reserve Evaluations

### Section I Managing Evaluations

#### 4-1. Overview

*a.* This chapter modifies policies and procedures of this regulation to meet the unique characteristics of the USAR. In addition to this chapter, all other provisions of the regulation apply unless otherwise indicated. This chapter applies to the following USAR Soldiers:

(1) Troop program unit (TPU), Individual Mobilization Augmentation (IMA), Drilling Individual Mobilization Augmentee (DIMA), Individual Ready Reserve (IRR), Reinforcement Training Unit (RTU), Standby Reserve (Active List) Soldiers, Sanctuary, AGR.

(2) On active duty in the Active Army as Active Army enlisted soldiers (for instance, dual component personnel as defined in AR 600-39).

(3) On temporary tours of active duty (TTAD), contingency tours of active duty (CO-TTAD), extended active duty (EAD), and contingency tour of extended active duty (CO-EAD) in support of Active Army missions.

(4) On active duty for special work tours (ADSW), AT, IDT, and ADT tours.

(5) USAR NCOs in grade of corporal and above. It does not apply to personnel assigned to the Active Army or to participants in the USAR-AGR program.

*b.* Where situations exist that do not appear to be covered by this chapter, send requests for clarification to HRC-St. Louis, Evaluations Support Branch, ATTN: AHRC-PAV-EO, 1 Reserve Way, St. Louis, MO 63132-5200.

#### 4-2. Roles

*a.* CDR, HRC-St. Louis will-

(1) Exercise final HQDA review authority for the Chief, Army Reserve on all evaluation reports filed on USAR Soldiers. This includes—

(*a.*) Determining that an evaluation report is correct without further action.

(*b.*) Returning evaluation reports to rating officials when it is determined that they violate this regulation.

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

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

(*e.*) Directing rating officials to investigate apparent errors or violations of this regulation and to submit their findings or recommendations. These will be attached to the applicable evaluation report or otherwise resolved as deemed appropriate by CDR, HRC-St. Louis.

(*f.*) Granting exception to, clarifying, or formulating new policies for USAR Soldiers as the need arises while conforming to the principles of this regulation.

(*g.*) Resolving Commander's inquiries and Appeals conducted under chapter 6.

(2) Review each evaluation report on receipt to identify any rating or remarks that may provide a basis to begin elimination action for rated Soldiers. In these cases, the CDR, HRC-St. Louis will take the following actions:

(*a.*) If the rated Soldier is assigned to a TPU, reports, documents, or correspondence are furnished to the appropriate major subordinate command of the U.S. Army Reserve Command (USARC), United States Army Civil Affairs and Psychological Operations Command (USACAPOC), 7<sup>th</sup> Army Reserve Command, or 9<sup>th</sup> Regional Readiness Command with recommendations for elimination.

(*b.*) If the rated Soldier is assigned to the AGR, IRR, or IMA/DIMA Programs, appropriate elimination action is initiated.

(*c.*) If the rated Soldier is serving on active duty as an Active Army (RA) Enlisted Soldier, documents and recommendations for elimination are furnished to the Active Army unit commander as stated in 4-2*a.*

(3) All prior evaluation reports of rated individuals transferred to the IRR are reviewed for information to support retention or elimination.

*b.* Commanders will-

(1) Ensure that rating officials give timely counseling to subordinates on professionalism and job performance, and they encourage self-improvement when needed.

(2) Ensure that completed OERs arrive at HRC-St. Louis not later than 120 calendar days after the THRU date of the report and completed NCOERs arrive at HRC-St. Louis not later than 90 calendar days after the THRU date of the report. The importance of the evaluation report to personnel actions, especially those concerning selection boards, makes it necessary that either the 120 or 90 day suspense be met, as appropriate for the report. The centralized selection, promotion and school boards schedule will be closely monitored to ensure eligible reports (both mandatory and optional) prescribed in chapter 3 are forwarded to HRC-St. Louis in sufficient time to be included in a rated individual's board file in accordance with the message released by HQDA announcing the board.

(3) Ensure that designated rating officials and assigned duties support an accurate evaluation of the rated individual's performance. Every effort will be made to maintain the same rating official during the entire rating period for USAR Soldiers performing AT, ADT, ADSW, IDT, or TTAD or as an assigned or attached IMA or DIMA.

(4) Look into alleged errors, injustices, and illegalities in evaluations during a Commander's Inquiry, regardless of the length of the rating period. Commander's Inquiry procedures are described in chapter 6. Forward inquiries to Commander, HRC-St. Louis, ATTN: AHRC-PAV-EA, 1 Reserve Way, St. Louis, MO 63132-5200.

#### **4-3. The evaluation process**

a. The evaluation process starts at the beginning of the rated period (see para 1-8d). It is the rater's responsibility to advise the Soldier of the objectives they are expected to accomplish in their duty position. The rater will also inform the Soldier on who is in the rating chain throughout the rating period.

b. DA Form 67-9-1 and DA Form 2166-8-1 will be used for establishing the rated individual's duty description and performance objectives. The initial support form will be used as a worksheet and updated as the situation changes. Correspondence, e-mail and telephone conversations may be used as alternatives because of geographic separation, followed by a mandatory face-to-face discussion at the earliest opportunity. The appropriate form will be used with the Soldier at the first discussion.

(1) This discussion will be held at the first available drill (within 30 days if possible) for TPU or as soon as possible after reporting for AT, ADT, TTAD, or ADSW or as an IMA/DIMA.

(2) For CO-TTAD, EAD, CO-EAD, and Sanctuary Soldiers, this initial counseling session will be conducted within 30 days of reporting to the unit of assignment.

c. At the end of the rating period, a copy of DA Form 67-9-1 (officers), or DA Form 2166-8-1 (NCOs), together with the completed evaluation form, is furnished to the rated individual.

(1) The rated individual will verify the administrative data and rating officials on the evaluation report and will complete any final requirements on the support form. The rated individual enters their signature and/or initials and date on the appropriate support form. The rated individual then forwards the support form and the evaluation report to the rater.

(2) The rater, after completing the evaluation, will forward both the support form and evaluation report to the intermediate rater (if any) or to the senior rater. All rating officials will use the support forms as described in DA Pam 623-3 chapter 2 (OER), or chapter 3 (NCOER), and will consider the information on the form in making their evaluations.

(3) The rated Soldier will sign and date the evaluation report after the senior rater and/or reviewer completes the evaluation review, signs and dates the evaluation report. NCOERs, the reviewer will send the evaluation back to the senior rater for the senior rater to obtain the rated NCO's signature.

(4) Once signed by the rated Soldier, the senior rater will forward a completed report at unit level to HRC-St. Louis or the unit's supporting administrative office for administrative processing and return the support forms to the rated Soldier.

## **Section II**

### **Rating Officials and Report Types**

#### **4-4. Designating rating officials and rater qualifications**

Chapter 2 describes the rating chain and responsibilities at each level (see appendixes C for special instructions pertaining to the rating chains for chaplains, D for JAGC officers, and appendix E for special instructions regarding AMEDD officers and warrant officers). Paragraph E-3 will extend to USAR subordinate commanders in the rank of colonel and above. Additional policies relating to USAR Soldiers are listed below:

a. *Restrictions.* Within the USAR in the Military Technician (MT) Program, a condition exists normally referred to as "grade inversion." Grade inversion is defined as a condition where an MT who is designated as a rating official performs military duty in the same unit environment and does so in a capacity that would place them subordinate to another unit member who they supervise in their civilian capacity (for instance, GS-07 as Full-Time Unit Support and SGT as a TPU member or GS-09 as Full-Time Unit Support and 2LT as a TPU member). Such arrangements are contrary to military order and discipline. MTs will not be designated as a civilian rating official where a grade inversion exists. 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. Memorandums of approvals for such exceptions to policy will be maintained at the unit level. If an MT is no longer an active unit member and does not perform in a military capacity in the unit environment, then there will be no restriction on the MT serving as a rating official.

b. *Duty assignments.* Rating officials or duty assignments will not be changed during the rated period if the change results in the inability of the rating officials to render an evaluation as stated in paragraph 4-5.

c. *Time requirements.*

(1) *OER.*

(a) For AT/ADT/ADSW/TTAD and IDT tours of specified periods, all rating officials will have served in that

capacity for a minimum of 12 or more consecutive calendar days. When periods are more than 90 days, chapter 2 rating chain rules apply.

(b) For officers assigned or attached to organizations for indefinite periods—

1. The rater will have served in that capacity for 120 calendar days.
2. The intermediate/senior rater will have served in that capacity for 90 calendar days.

(2) *NCOER*. The minimum authorized period for a report with a qualified rater is 90 rated days, except for IRR, IMA NCOs, or AMEDD in career management field 91 attached to the National AMEDD Augmentation Detachment (NAAD) (see para 4-4f(1)(b)).

d. *Reserve commissioned officers, warrant officers (see para 2-3f(1)), or NCOs (see para 2-3f(2)) serving on active duty in a RA enlisted status*. These personnel will be rated by their immediate supervisor. Reserve warrant officers or NCOs serving in an RA enlisted status may be rated by warrant officer supervisors or by commissioned officers in the RA supervisory chain. This applies even though the raters may be junior in grade or date of rank. Department of the Army civilians (DACs) in appropriate grades and supervisory positions approved by the commander may be designated when they are better able to evaluate the rated individual's performance (see table 2-1). Although the OER for USAR warrant officers or NCOER for USAR NCOs will be used, rated Soldiers are rated on performance in their enlisted status while serving in the RA on active duty.

e. *The rater of an officer's OER*.

(1) An exception to the requirement that a rater be senior to a rated officer is granted when a field grade officer on ADT/AT/ADSW/TTAD/CO--TTAD with the Active Army is senior in date of rank to the designated rater. This exception can be applied only in the following situations:

- (a) The rater is an Active Army officer, DAC, or an officer serving in an AGR status.
- (b) The rater is equal in grade to the rated officer.
- (c) The rater is in an appropriate supervisory position in the chain of command.
- (d) There are no other appropriate rating officials.

(2) As an exception to paragraph 2-4 and table 2-1, officers assigned to the Selective Service System will be rated per instructions from the Director of Selective Service.

(3) An exception to the OER requirement that a rater will be senior to a rated officer may be authorized for colonels occupying table of organization and equipment (TOE)/tables of distribution and allowances (TDA) positions in the grade of colonel or higher. This exception can be applied only when an officer who would normally be designated as rater is not in a position to have personal or official knowledge of the rated officer's duty performance. Each exception will be approved by the appropriate major subordinate command of the USARC, USACAPOC, 7<sup>th</sup> Army Reserve Command or 9th Regional Readiness Command. In the case of Soldiers on AT, ADT, ADSW, TTAD, or CO--TTAD, this authority may be granted by the first general officer in the chain of command in the proponent agency to which he or she is assigned during the tour period indicated. The authority will be cited in the published rating chain. The rater will attach as an enclosure to the evaluation a copy of the document giving them authority to render the report. The senior rater will cite the authority for exception on the OER.

f. *The NCOER rater*. This rater—

(1) Will be the immediate supervisor of the rated NCO for a minimum period of—

(a) Ninety rated days if the rated NCO is a member of a TPU for all cases except Relief-for-Cause reports involving misconduct. For Relief-for-Cause reports involving misconduct, the 90-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 NCO.

(b) Eleven or more consecutive days of AT, ADT, ADSW, or TTAD, if the rated NCO is a member of the IRR, IMA, or AMEDD in Career Management Field (CMF) 91 attached to the NAAD.

(2) Will be a sergeant or above and senior to the rated NCO by either pay grade or date of rank.

(3) May be a member of another U.S. military service who meets the qualifications above.

(4) May not be members of allied forces.

(5) May be a civilian employee of DOD, in the grade of GS-07 and above when a first-line military supervisor is not available and when the civilian supervisor is 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 local commander.

g. *Intermediate rater*. This applies to officers rating chains only. See paragraph 2-6 and table 2-1 for a description of an intermediate rater.

h. *Senior rater*. Minimum grades for senior raters are specified in table 2-1. Exceptions will be granted in only the most unusual circumstances.

(1) Exceptions will be approved in writing prior to the beginning of the rating period.

(2) Exceptions for officers assigned or attached to TPUs, RTUs, or IMA detachments will be approved by the appropriate major subordinate command of the USARC, 7th or 9th Army commands or the U.S. Army Special Operations Command. Exceptions for officers attached to Active Army units for AT, ADT, ADSW, TTAD, or IDT will be approved by the first general officer in the chain of command. The senior rater will state on the DA Form 67-9, Part VIIc, the authority to act as senior rater and attach a copy of the document granting the exception to the report.

The senior rater will always be senior to the rater and the intermediate rater except as provided in para 2-7a(5). Separate exceptions are not required for USAR medical subordinate commanders meeting criteria applicable in paragraph E-3.

(3) The senior rater for officers or NCOs on AD in RA enlisted status will be a commissioned officer or civilian in the supervisory chain that is senior to the other rating officials.

(4) AN OER senior rater will normally perform the final chain-of-command review as discussed in paragraph 2-8a. All other applicable rules or restrictions delineated in paragraph 2-8 will apply to USAR Soldiers.

(5) NCOs provisions of paragraph 2-7 apply for designating the senior rater with the exception that the senior rater need not be senior to the rater by date of rank if he/she is the designated commander.

#### **4-5. Other rating chain qualifications and responsibilities**

a. General officers qualified and serving as both rater and senior rater for an officer (see para 2-20) may render evaluations on a rated officer after meeting the 90-day rating requirement vice the 120-day requirement.

b. For OERs, in a civilian-oriented organization where there is no qualified rating official to rate a Soldier on ADT/AT/ADSW, or TTAD for 12 or more consecutive calendar days, the DOD civilian supervisor of the Soldier may be designated for that purpose. The senior rater in this case will normally be designated per table 2-1.

c. For NCOERs, paragraph 2-5c(3)(c) applies to a USAR CSM serving as the USAR NCO Academy CSM.

d. For a rated Soldier's DA Form 1059 or DA Form 1059-1, the reviewer will be qualified as described in paragraph 2-8c. All other applicable rules or restrictions delineated in paragraph 2-8 will apply to USAR Soldiers.

#### **4-6. Continuity of rating periods**

a. Once the first report has been submitted, OERs and NCOERs will show a continuous record throughout the years of evaluation, except for reports rendered on IRR or IMA.

b. Retirement OERs and NCOERs are optional at the option of the rated Soldier or any of the rating officials, if the period of the report is less than 12 months.

#### **4-7. Instructions for raters**

See chapter 2 for a discussion of the rating chain and member responsibilities. The following are additional instructions for USAR raters:

a. A USAR officer on active duty as an RA enlisted soldier is not an officer under dual supervision as defined in para 2-22. When preparing OERs on these officers, the following instructions will apply:

(1) DA Form 67-9, Part III will contain the enlisted principal duty title, enlisted MOS, and enlisted job description.

(2) DA Form 67-9, Part IV refers to the professionalism displayed as an enlisted soldier.

(3) Complete DA Form 67-9, Parts Vb, and Vc as they relate to the rated officer's enlisted status (career field entry not required, indicate unique professional skills or areas of expertise of value to the Army if applicable). On DA Form 67-9, Part Vb, "Reserve commissioned officer" or "Reserve warrant officer" is entered, along with comments on specific aspects of performance in the enlisted status.

(4) DA Form 67-9, Part VI if applicable, will address the soldier's performance only.

(5) The potential evaluation in Part VIIa and VIIb or VIId is not completed. The senior rater will indicate if DA Form 67-9-1 was received by checking the "Yes" or "No" block as appropriate.

(6) DA Form 67-9, Part VIIc, will address the soldier's performance only. It may also be used for the following purposes:

(a) Administrative review.

(b) Comments on the evaluations of the rater and intermediate rater.

(c) Unusual circumstances surrounding the report. Examples would include a soldier's failure to sign the report and signature dates out of sequence.

(7) Neither the rater or the intermediate rater (if any) or the senior rater will comment on the officer's potential.

b. When the rated Soldier is being transferred to the Retired Reserve for any reason, the rater will indicate on either the OER or NCOER, the grade and assignment for which the Soldier should be recalled to active duty in the event of mobilization (for example, colonel, installation DPCA). This applies only if the report is the rated Soldier's final report before the transfer.

#### **4-8. Submitting reports**

a. Reports on USAR Soldiers on active duty as RA enlisted soldiers will be submitted when required by paragraphs 3-44 through 3-48.

b. Only those reports authorized by the regulation will be submitted. This provision also applies to reports on Soldiers in the Ready and Standby Reserve (Active List) and DIMA. Reports are required annually from the unit of assignment or attachment. Separate reports will be submitted when a USAR rated Soldier participates with more than

one organization during the same period. Reports covered in chapter 3, Sections VII and VIII of this regulation take precedence over other optional reports. Types of service covered by USAR reports include the following:

- (1) AT, ADT, ADSW, TTAD, or IDT of 12 or more consecutive calendar days.
- (2) CO-TTAD, EAD, CO-EAD and Sanctuary with a minimum of 90 ratable days more consecutive calendar days performed by an officer, warrant officer, or NCO in an attached status.
- (3) IRR Soldiers attached for points only will receive an annual report from the unit of attachment (Soldier can be attached only to one unit at a time for points only).
- (4) Military or civilian schools—
  - (a) In an active status for 30 days or more.
  - (b) Completion of military or civilian schools where the USAR Soldier is authorized to receive a DA Form 1059 or DA Form 1059-1.
- c. An evaluation report is mandatory when the rated Soldier is separated from active duty. As an exception, retirement reports of less than 1 year will be rendered at the option of the rater or senior rater or when requested by the rated individual.
- d. Separate reports are not required for USAR officers on active duty as RA or Army of the United States warrant officers.
- e. Centralized selection, promotion and school boards schedule will be closely monitored to ensure eligible reports, both mandatory and optional, are forwarded to HQDA in sufficient time to be included in a Soldier's board file.

#### **4-9. Reporting period and types of officer evaluation reports**

a. Reference to the term "officer" in this paragraph also applies to a warrant officer, unless otherwise prescribed in this paragraph or appendix B. Reports may be submitted when necessary as outlined in paragraphs 3-44 through 3-48, 3-50, 3-58, and 3-60 through 3-63. In addition, reports are required on—

- (1) USAR officers entering on duty with the Active Army. The THRU date will be the day before the effective date of active duty. A report is not required when an entire unit mobilizes unless otherwise required by chapter 3.
- (2) USAR officers assigned to the Selective Service System. An annual report will be submitted when necessary.
- (3) Officers on ADT/AT/ADSW or TTAD of 12 or more consecutive calendar days. Reports will be required whether duty is with the Active Army, while attached to the Active Army, or for duty with an Army National Guard or USAR unit. This includes attachments for attendance at seminars, conferences, boards, and indoctrination, and special field or joint exercises. As an exception, a letter will be used to account for membership on a DA selection board. When an officer completes the branch service school before completing the required ADT, a report will be prepared if he or she performs duty of 12 or more consecutive calendar days before release from ADT.
- (4) General officer IMA personnel. Reports will be prepared annually or on completion of 12 cumulative days of AT, as desired by the rated officers in coordination with their proponent agencies (AR 140-145).
- (5) An officer attached to a TPU (except U.S. Army Reserve Forces school student detachment) from another TPU. Reports will include only periods of IDT and ADT with the unit of attachment. A period of AT with the unit of assignment will be covered in the report from that unit.
- (6) Officers assigned or attached to TPUs or attached to RTUs. A report will be submitted per chapter 3. In lieu of the 90-day requirement imposed for the Active Army, the period will cover the following:
  - (a) One hundred twenty calendar days or more, in the same position under the same rater, if units are authorized 48 annual drills.
  - (b) Sixteen or more regularly scheduled drills, in the same position under the same rater, if units are authorized 24 annual drills.
- (7) AGR officer. Reports will be submitted under the same rules used for the Active Army, except that reports will be forwarded to Commander, HRS-St. Louis, ATTN: AHRC-PAV-EO, 1 Reserve Way, St. Louis, MO 63132-5200.
- (8) DIMA officers. Reports will be prepared in accordance with paragraph 4-9a(6) when they are attached to their proponent agency for an indefinite period and perform duty in an IDT status throughout the year. Periods of AT will be included in the annual report prepared by the agency. This includes officers assigned to the Drilling IMA Program.
- (9) Officers attached to IMA detachments. Annual reports will be submitted.
- (10) Officers attached to the U.S. Military Academy Liaison Program. Annual reports will be submitted on 30 September of each year.
- (11) Officers attached to the NAAD. Annual letter reports will be submitted. The reporting period will end on the officer's retirement year ending date.
  - (a) DA Form 67-9 will not be completed. Change of duty or changes of rater reports are not required. There is no senior rater or rater time requirements. The letter report will be authenticated by the NAAD officer in charge. The text will contain the duties performed and training accomplished based on information provided on the DA Form 67-9-1, DA Form 1380 (Record of Individual Performance of Reserve Duty Training), and other pertinent documents. The NAAD officer in charge will also include other relevant training performed that may have some impact in the event of

mobilization. A statement on the rated officer's height and weight and compliance or noncompliance with AR 600-9 is required. A promotion potential statement may be added by the NAAD commander.

(b) DA Form 67-9 will be completed for officers on ADT/AT/ADSW or TTAD of 12 or more consecutive days. If a DA Form 67-9 is completed on the officer during the retirement year ending date year, an administrative letter can be prepared as an option.

(12) Officers on ADT/ADSW/TTAD or CO-TTAD. An OER will be prepared under the following circumstances:

(a) Tour of duty from 12 to 30 days. An OER will be prepared if the rated officer has served in the same position under the same rater for 12 or more consecutive calendar days. When the officer changes duty but continues to serve under the same rater, the periods will be covered in one report.

(b) Tour of duty from 31 to 179 days. An OER will be prepared if the rated officer has served in the same position under the same rater for 30 or more consecutive calendar days. An OER is optional if the rated officer has served in the same position under the same rater for 12 or more consecutive calendar days. If an optional OER is not prepared, carry the period as nonrated on the next OER.

b. Newly commissioned officers or newly appointed warrant officers who have not completed their Basic Course and are assigned/attached to a TPU or RTU are entitled to all reports as detailed above. A comment in DA Form 67-9, Part VIIc, will be added by the senior rater indicating the officer has not completed the basic course as of the ending date of the report.

c. When HRC-St. Louis determines there is a need for a report and other provisions of this regulation do not apply, HRC-St. Louis may direct that a report be submitted. The time period for rendering the report will meet the 120-day requirement for TPU officers or 90 days for AGR officers. The CG, USARC, USACAPOC, 7<sup>th</sup> Army Reserve Command and 9<sup>th</sup> RRC 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 will be attached to the OER when it is forwarded to HRC-St. Louis. In rare instances, commanders may request that HRC-St. Louis direct a report under this paragraph. Send requests to CDR, HRC-St. Louis, ATTN: AHRC-PAV-E, 1 Reserve Way, St. Louis, MO 63132-5200.

#### **4-10. Reporting period and types of noncommissioned officer evaluation reports**

a. The first NCOER submitted on sergeants and above who have not been previously evaluated in the NCOER System will be prepared for whichever of the following occurs first:

- (1) Required for board action.
- (2) Change of rater.
- (3) Annual Reporting month.

b. Annual reports—

- (1) Will be prepared for USAR NCOs assigned to TPUs and based on paragraph 3-45.
- (2) Will meet the 90-day minimum rating period (3 consecutive months) and rater qualifications. The report period will be extended until these minimums are met.
- (3) For IRR and IMA NCOs will not be prepared if another report has been submitted during the 3-month period preceding the end of the annual reporting month.

c. Relief-for-Cause reports will be required if an NCO is relieved for cause.

(1) The policy and guidance in paragraph 3-59 apply to all USAR NCOs except that the minimum rating period is 90 rated days (3 consecutive months).

(2) For Relief-for-Cause reports involving misconduct, the provisions of paragraph 4-4(1)(a) apply.

d. Change-of-Rater reports will be submitted on USAR NCOs whenever the designated rater is changed as long as minimum rater qualifications are met (see para 4-4). Rater changes include—

(1) Rater or rated NCO are reassigned; transferred to another unit; transferred to the IRR or IMA; or transferred to another RC.

(2) Rater or rated NCO is discharged or normal expiration of term of service (ETS) occurs, except discharge for immediate reenlistment.

(3) Rated NCO is reduced to CPL/specialty or below. Reduction to another NCO grade (for example, SFC to SSG) does not require a report, unless the actual rater changes.

(4) Rater dies, is relieved, reduced, absent without leave, declared an unsatisfactory participant based on AR 135-91, paragraph 4-9b, for USAR not on active duty, or declared missing or becomes incapacitated to such an extent that the reviewer, on the advice of medical authorities, believes the rater is unable to submit an accurate evaluation. The senior rater will complete both rater and senior rater portions of the reports on each of the rater's subordinates (provided senior rater meets minimum rater qualifications) and will enter a brief explanation of the reason for the report in part Ve (for example, "rater deceased" or "rater relieved"). When both the rater and senior rater are unable to evaluate because of any combination of these factors, a report will not be submitted. The period will be shown as nonrated on the next report. Code "Q" will be used to explain nonrated periods.

e. A Change-of-Rater report will be submitted when requested by the rater or rated NCO upon approved retirement.

f. A Change-of-Rater report may not be signed before the date the change occurs. In the event of PCS, the report may be completed and signed up to 10 days prior to the date of departure in order to facilitate orderly out-processing.

#### **4-11. Reports for Individual Ready Reserve, Individual Mobilization Augmentee, and Army Medical Department noncommissioned officers in career management field 91**

a. The NCOER is prepared in triplicate and the original and a copy are sent to CDR, USA, HRC--St. Louis, ATTN: ARPC-PSV-EE, 1 Reserve Way, St. Louis, MO 63132-5200. The other copy is given to the rated NCO. Reports will be forwarded not later than 90 days after the ending date of the report.

b. NCOERs will be prepared and completed for IRR and IMA NCOs, SGT and above, attached or assigned to Active Army or RC commands of the U.S. Armed Forces for indefinite periods and performing IDT or ADT for pay/points (for example, an IRR soldier attached for training to the U.S. Air Force Reserve or the Air National Guard). Performance counseling will be conducted based on paragraph 3-4.

c. An NCOER will be submitted when an IRR, IMA, or AMEDD NCO in CMF 91 attached to the National AMEDD Augmentation Detachment (NAAD) (except in paragraph 4-11a), SSG and above, completes more than 11 consecutive days of AT, ADT, ADSW, or TTAD. These reports will be coded with the report code "6" based on DA Pam 623-3, paragraph 3-4 and table 3-1, and will be processed as follows:

(1) The command to which the NCO is to be attached or assigned for the tour of duty will contact the NCO within 14 days of the reporting date. The NCO will be informed of the impending duties, responsibilities, reporting requirements, and appropriate sponsorship information.

(2) Performance counseling will be conducted.

(3) Prior to departure from the tour of duty, the NCO will receive a copy of his or her completed NCOER. As a minimum, the NCO will receive the rater's portion of the NCOER.

(4) The duty station will ensure the NCO's completed NCOER is forwarded to the CDR, HRC--St. Louis, ATTN: ARPC-PSV-EE, 1 Reserve Way, St. Louis, MO 63132-5200, not later than 90 days after the ending date of the report.

d. Letter reports will be submitted annually for AMEDD NCOs in CMF 91 who are attached to the NAAD (see fig 4-1). The reporting period will end on the NCO's retirement year ending date. DA Form 2166-8 will be completed only when the NCO performs duty as explained in paragraph 4-10b. Change of duty or change of rater reports are not required. There are no senior rater minimum time requirements. The letter report will be authenticated by the NAAD Commander or his/her authorized representative. The text will focus on duty performance, NCO responsibilities, and information provided on DA Form 1380 and other pertinent documents. The number of drills scheduled and the number of drills attended will be stated in the report. The DA Form 2166-8-1, NCO Support Form is optional. Any relevant training performed, which may have some impact in the event of mobilization, will be included. An APFT and height and weight entry will be included in accordance with DA Pam 623-3, paragraph 3-7.

#### **4-12. Preparing, processing, and filing reports**

##### *a. Preparing.*

(1) The original evaluation form will be prepared in accordance with instructions provided in DA Pam 623-3 and this regulation. A clear original is needed so that legible copies of the report can be scanned for processing and inclusion in the rated individual's OMPF.

(2) The rater will enter the results of the APFT administered within one year of the THRU date of the report. If not taken with the APFT, the height and weight entry is as of the rated Soldier's signature date. The height and weight standards of AR 600-9 always apply and will be entered on the applicable form whether or not the rated individual is deployed. Failure to comply with height/weight standards will be addressed in the rater or senior rater's evaluation.

(3) Ensure that the Senior Raters Organization includes a complete unit address to include unit identification code, street address, state, and zip code.

##### *b. Forwarding.*

(1) The responsible senior rater or office that provides administrative support to the senior rater will provide the rated Soldier with a copy of the evaluation, along with the support form before sending the report to HQDA. Confidentiality will be ensured.

(a) If the rated individual departs the organization before receiving a copy of the completed report, the copy may be mailed to the rated USAR Soldier's home of record or electronically sent to his/her AKO email address.

(b) The senior rater or senior rater supporting administration office will retain an additional copy of the completed report for 90 days for use in case the rated officer does not receive the mailed copy.

(c) Rated Soldiers who fail to receive a copy of their completed report after the close of the reporting period will request a copy from their senior rater or appropriate supporting administrative office.

(2) Evaluation reports will be forwarded in accordance with instructions and options provided in DA Pam 623-3, chapter 5. Addresses are available at appendix F of this regulation.

(3) Reports for TPU officers may be forwarded through a major subordinate command of the USARC, 7<sup>th</sup> Army Reserve Command, 9<sup>th</sup> RRC, or USACAPOC directly to the CDR, HRC--St. Louis ATTN: ARPC-PAV-EO, 1

Reserve Way, St. Louis, MO 63132-5200. The original OER will reach HRC-St. Louis within the 120-day period and original NCOER within 90 days, as stated to in paragraph 4-2b.

(4) For IRR or Standby Reserve (Active List) officers attached to TPUs, IMA detachments, Active Army units, or other activities for training, the original OER is sent to the address in paragraph 4-12b(3) above. The unit will retain a copy of the report for 180 days after the THRU date of the report and then destroy it. The original will reach HRC-St. Louis within the 120-day period for OER and the 90-day period for NCOER, as stated in paragraph 4-2b.

(5) Automatic or electronic means of submission is preferred when authorized. Postal tracking numbers or certified or registered mail is recommended when sending all paper reports via mail to HQDA. Registered or certified mail will be used when forwarding all reports via mail that contain adverse or classified information.

*c. Evaluation processing issues.*

(1) Any evaluation report needing correction will be returned to the major subordinate command to which the rated individual is assigned or attached for correction. The 7<sup>th</sup> Army Reserve Command, 9th RRC, or USACAPOC will establish a point of contact and procedures for processing and managing reports.

(2) For officers serving on active duty as RA enlisted Soldiers, an original and two copies of the evaluation will be prepared. One copy of the evaluation will be given to the rated Soldier with the applicable support form or academic counseling form. Both the support form and the evaluation form may be mailed to the home of record, or e-mailed to the rated individual's AKO address. Forward the original and one copy of the evaluation for final review to the appropriate address in appendix F of this regulation or as prescribed by DA Pam 623-3. Incorrect or incomplete reports will be returned to the senior rater's administrative or personnel office for correction and resubmission to HRC-St. Louis or as applicable.

(3) When an evaluation report for a specific period of service is not received and the original rating chain officials are not available or if more than 30 months have elapsed since the THRU date of the report, the period may be declared nonrated. The rated individuals USAR or Active Duty unit of assignment or attachment for the period in question may submit a request for a nonrated statement to Commander, HRC-St. Louis, ATTN: AHRC-PAV-EA, 1 Reserve Way, St. Louis, MO 63132-5200. Tracer action will be initiated by HRC-St. Louis to determine if a report was submitted. When necessary and practical, a delayed report will be obtained from the appropriate rating officials. HRC-St. Louis will determine if the period involved will be a nonrated period. Nonrated statements will be approved only for periods in which a report should have been rendered. USAR Soldiers not assigned or attached to a unit long enough to receive a report with a qualified rating chain will not receive a nonrated statement.

*d. Filing.*

(1) The original evaluation report for officers, except those on active duty in RA enlisted status, will be placed into the rated individual's USAR OMPF.

(2) The original evaluation report for USAR officers and warrant officers on active duty in an RA enlisted status, will be filed in the Soldier's USAR OMPF.

(3) The original evaluation report for all USAR NCOs will be maintained in the rated Soldiers' OMPF.

*e. Classified evaluations.*

(1) If the evaluation report is classified or contains classified information, the rated individual will not be given a copy of the evaluation.

(2) The original evaluation will be filed in a restricted USAR OMPF to be established by HRC-St. Louis. This evaluation will be cross-referenced with the unclassified evaluation processing system and OMPF.

**4-13. Senior rater profiles (DA Form 67-9 only)**

*a.* A senior rater's USAR profile tracks the rating history of each senior rater for USAR officers by grade and component, MAJ through BG, and warrant officers by grades CW3 and CW4 and component (see para 3-12 for senior rater profile rules). Reports will be processed and profiles applied daily as they are received from the field regardless of the THRU date of the report and the senior rater signature date, except when calculating profile restarts.

*b.* HRC-St. Louis will maintain cumulative rating profiles for each senior rater based on evaluations of USAR officers. All senior raters of USAR officers will be profiled by HRC-St. Louis regardless of the senior rater's affiliation with the Active Army, ARNG, or USAR.

*c.* Senior raters who are Army officers can review their profile at any time on line using their AKO log-in at [www.hrc.army.mil](http://www.hrc.army.mil) under the "2xCitizen" icon.

*d.* Senior raters who are not U.S. Army officers will request a copy of their senior rater profile from HRC-St. Louis (see appendix F). The request can be made by email, telephone, or in writing.

*e.* A senior rater may re-start his or her senior rater USAR profile only if the minimum senior rater restart provisions prescribed by paragraph 3-13 are met and HRC-St. Louis approves. To receive authorization for re-start, a senior rater will personally contact the Officer Support Division at HRC-St. Louis (see appendix F). No restart will be made until the senior rater USAR profile manager agrees to the effective date and grades to be effected. Simply meeting requirements and submitting a request to HRC-St. Louis does not guarantee approval for a senior rater re-start.

#### **4-14. Warrant officer evaluations**

Consider the factors described in appendix B when preparing reports on warrant officers.

#### **4-15. Appeals**

*a.* See chapter 6 for policies and procedures for appeals. The CDR, HRC-St. Louis will screen and act on all appeals submitted on ratings received during USAR service. Appeals will be submitted in memorandum form directly to the CDR, HRC-St. Louis, ATTN: AHRC-PAV-EA, 1 Reserve Way, St. Louis, MO 63132-5200.

*b.* Commander, HRC will acknowledge receipt of the appeal directly to the originator. Appeals are processed in the following priorities:

(1) First priority are appeals from rated individuals who have been—

*(a)* Twice nonselected for Reserve promotion and who have been given a directed mandatory removal date.

*(b)* Recommended for elimination.

(2) Second priority are appeals pertaining to rated individuals who have failed once to be selected for Reserve promotion.

(3) Third priority are appeals that are not eligible for higher priority but if favorably considered might result in a material change in an officer's or NCO's records.

*c.* The policy and procedures listed in chapter 6, section III and DA Pam 623-3 will be used for the preparation and submission of an appeal. Supporting evidence necessary to adequately refute the contested evaluation report will be collected. As a minimum, a copy of the contested report and DA Form 1379 (U.S. Army Reserve Components Unit Record of Reserve Training) (TPU NCOs) will be included.

*d.* Appellants will identify the priority of their appeals and notify HRC-St. Louis of any change in status that would affect that priority.

*e.* Appeals having the same priority are processed in order of receipt.

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(Letterhead)

(Date)  
(Name)  
(SSN: xxx-xx-xxxx)  
(Period of Report:)

MEMORANDUM FOR Commander, Army Reserve Personnel Command,  
ATTN: ARPC-PSV-BE, 1 Reserve Way, St. Louis, MO 63132-5200

SUBJECT: Letter Report

1. This is an example of a letter report format using a modified block style.
2. The date, rank, name, SSN of the rated NCO, and the period covered by the report will begin on the fourth line below the last line of the letterhead. The information will be positioned so that it ends at the right margin.
3. The text will be limited to one page and will contain the rating official's description of the rated NCO's duties and an evaluation of the rated NCO. The rating official may comment on any aspect of the rated NCO's performance or potential. Before completing this letter report, rating officials should read those sections of AR 623-205 that apply to the duties, responsibilities, and functions of the evaluation role being performed.
4. A copy of this letter report will be given to the rated NCO.

(Signature)

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Figure 4-1. Example of a format of a letter report (USAR only)

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## Chapter 5 Army National Guard Evaluations

### Section I Managing Evaluations

#### 5-1. Overview

This chapter establishes policies and procedures for applying the ERS to the ARNG. It gives unique ARNG and AGR instructions for preparing, processing, and using evaluation forms addresses in this regulation and DA Pam 623-3. These instructions cover the differences in the use of these forms by the Army National Guard from their use by the Active Army. This chapter will be consulted first on any questions pertaining to ARNG evaluations. The following paragraphs indicate when it is appropriate to refer to other paragraphs of this regulation for guidance.

a. This chapter applies only to traditional Man-day ARNG Soldiers with either temporary or permanent Federal recognition serving on ADT, active duty support, ADSW, AT, IDT, and FTNGD special work. However, this chapter does not apply to ARNG members on extended active duty or on statutory tours of active duty under the provisions of 10 USC 10211, 12402, and 12301. The term ARNG members or Soldiers in this chapter refers to officers, warrant officers, and NCOs unless otherwise specified.

b. This chapter does not apply to ARNG officers and NCOs serving on active duty or full time National Guard duty under Title 10 and Title 32 Army Guard/Reserve tours, to include Presidential Selective Reserve Call-up, partial or full mobilization for emergency or war, or TTAD. ARNG members in these groups receive their mandatory and optional OER's in accordance with chapter 3, sections VII and IX.

c. The term "States" as used in this chapter applies to the 50 United States, the territories of Guam, Puerto Rico, and the U.S. Virgin Islands, and the District of Columbia. The term "State Adjutant General" refers to the commanding generals of those States that use such a designation for officers of equivalent positions.

## **5-2. Evaluation Reporting System**

a. The ERS is used to identify officers of the ARNG who are best qualified for promotion and assignment to positions of higher responsibility.

b. Under the ERS, an ARNG member is evaluated on performance and potential. In this system, three kinds of evaluations are given:

(1) DA Form 67-9 or DA Form 2166-8 is used for duty evaluations.

(2) DA Form 1059 or DA Form 1059-1 is used for school evaluations.

(3) Selection boards and personnel management systems are used for DA, NGB, and State evaluations.

## **5-3. Functions of the Evaluation Reporting System**

a. The ERS has important subsystems in OERS and NCOES. The primary function of the ERS is to provide information to State headquarters, NGB, and HQDA for use in making personnel management decisions. This information is supplied by a rating chain in the officer's assigned organization.

b. The secondary functions of the ERS are to encourage officer professional development and enhance mission accomplishment.

c. In addition, the ERS is designed to support many current Army management programs.

d. The OER and NCOER are designed to ensure that an ARNG member's individual specialties are considered along with the specialty requirements of their duty position when they are evaluated. The emphasis on senior/subordinate communication supports the Army's "people-oriented programs" and is intended to focus attention on constructive problem solving and the importance of sound working relationships. Performance counseling techniques, as described in DA Pam 600-3, DA Pam 623-3, and other related regulations, will be adapted to individual situations. However, in all situations, performance counseling is most effective when executed carefully and continuously.

e. DA Form 1059 and DA Form 1059-1 are used to document ARNG member performance or participation in authorized military or civilian education while serving in an authorized active duty status.

## **5-4. Command roles**

a. The Chief, NGB (CNGB) will—

(1) Acting for the Secretary of the Army, direct the effective operation of the ERS in the ARNG

(2) Exercise final review authority on all ARNG evaluation reports arriving at the ARNG Readiness Center. This includes—

(a) Return to the State those reports that appear to be in error or violate the provisions of this regulation.

(b) Request the State submit addenda to reports needing clarification.

(c) Collect information to be attached as addenda to reports when such action is necessary by—

1. Requesting reports when the circumstances warrant and other provisions of this regulation do not apply.

2. Providing clarification of policies, exceptions to policies, or form new policies, as the need arises.

3. Disposing of commander's inquiries according to chapter 6.

b. State AGs and commanders will ensure that—

(1) Each rating official is fully qualified to meet his or her responsibilities (see chap 2).

(2) Reports are completed by individuals named in the published rating chain.

(3) Rating chains are published by name showing the rater, intermediate rater (if applicable), and senior rater; given an effective date; and distributed to the rated officer and each member of the rating chain. Changes to existing rating chains will also be dated, published, and distributed. Changes to rating chains will not be retroactive.

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

(5) Each rating official knows how the subordinates he or she evaluates have performed.

(6) Each senior rater understands that they will examine the entries on evaluation reports to ensure that objectivity

and fairness have been maintained. When doing so, they will keep in mind the interests of the Army, the ARNG, and the rated ARNG member. The senior rater will also understand that if discrepancies are noted, clarifying or corrective action will be taken (see paras 2-15, 2-17, and 2-18).

(7) All rated individuals are provided a copy of their completed evaluation reports.

(8) Referred OER and AER reports (paras 3-34 and 3-35) will be provided to the rated officer for acknowledgment or comment before being sent to the Officer Management Branch. This also applies to an OER or AER addendum containing newly received derogatory information and submitted under the provisions of paragraphs 3-41 and 3-42 (also see chapter 3, section IV). The referred report provision above does not apply to NCOER reports.

(9) State military personnel officers comply with battalion or brigade administrative office procedures outlined in this regulation or DA Pam 623-3, chapter 2 (OER), chapter 3 (NCOER), and chapter 4 (AER, CIAER).

(10) Completed reports arrive at the ARNG Readiness Center not later than 120 calendar days after the THRU date of the report for OERs and 90 days for NCOERs. An ARNG member's individual evaluation is important to many personnel actions, especially those involving HQDA selection boards, and demands that this suspense be met. Rating officials will carefully monitor selection board messages to account for dates of required receipt that are prior to this suspense period allowed in order that reports reach selection boards as intended.

(11) A comment is made in the rater's portion of the OER or NCOER regarding the rated ARNG member's military education status.

c. In addition to the above, State AGs and commanders will perform the duties described in para 1-11 and chapter 6 when a report by one their subordinates appears illegal, unjust, or otherwise in violation of this regulation.

d. State adjutants general may also request from the Chief, NGB clarification of policies, exception to policies, or new policies when situations arise that—

(1) Are not clearly and adequately covered by this regulation.

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

## Section II Policy

### 5-5. The rating chain

a. Rating chains will correspond as nearly as practical to the chain of command and supervision within an organization.

b. Rating chains will normally consist of the rated ARNG member, the rater, and the senior rater (see para 2-3). When a rating chain is established, the rater, intermediate rater if applicable, senior rater and reviewer are the first officials designated (see table 2-1 and paras 2-4, 2-6, 2-7, and 2-8). Some OER rating chains will have an intermediate rater (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 para 5-4b(3). No changes to rating chains may be retroactive.

c. Rating chain exceptions for the ARNG are listed in paras 5-8 through 5-12.

d. Rules for establishing rating chains for general officers are in table 5-1.

**Table 5-1**  
**Rules for establishing rating chains for general officers**

Assignment of rated officer	Rater	Intermediate rater	Senior rater
State AG	None *see below	None	None.
Assistant State AG	State AG	None	State AG
Officers commanding divisions, enhanced brigades, corps artillery, or other general officer commands (mobilization entities)	State AG	None	CDR, continental United States (CONUSA) <sup>1</sup>
Officers serving as assistant division commanders or deputy commander of command authorized a major general when organizational commander is from the same State	Organization commander	State AG (rated officers State)	CDR, CONUSA <sup>2</sup>
Officers serving as assistant division commanders or deputy commander of command authorized a major general when organizational commander is from different State	Organization commander	State AG (rated officers State)	CDR, CONUSA <sup>2</sup>
Officers commanding enhanced brigades	State AG	CDR, Active Army Division	CDR, CONUSA <sup>2</sup>

**Table 5-1**  
**Rules for establishing rating chains for general officers—Continued**

Assignment of rated officer	Rater	Intermediate rater	Senior rater
All other officers serving in general officer positions	(As directed by the State AG)		

Notes:

<sup>1</sup> None unless a Governor of the State or Territory or in the case of the Commanding General of the District of Columbia National Guard, the Secretary of the Army desires to write an evaluation.

<sup>2</sup> Or overseas commander if applicable

**5-6. The rated Soldier**

- a. The rated individual is discussed in detail in paragraph 2-10.
- b. In order to be eligible for an OER, ARNG Soldiers will complete 120 calendar days in the same duty position under the same rater. In order to be eligible for an NCOER, ARNG Soldiers will complete 90 calendar days in the same duty position under the same rater. Nonrated periods described in paragraph 5-18 are not included in this 120-day period; exceptions to this policy are given in paragraphs 5-20, 5-21, and 5-22.

**5-7. The rater (DA Form 67-9)**

- a. The rater is discussed in detail in paragraphs 2-5 and 2-12.
- b. The rater will be designated and serve for at least 120 calendar days in order to evaluate the rated Soldier. Exceptions to this policy are given in para 5-20 and 5-22.
- c. The rater will be a qualified U.S. or allied armed forces officer or an employee of a U.S. Government or State agency (see table 2-1).
- d. When a rater in a command position rates an officer who is of the same grade, but senior in date of rank to the rater, a copy of the assignment-to-command order (in accordance with AR 600-20) will be forwarded with the rated officer's report, as specified in paragraph 2-5, and annotated in DA Form 67-9, Part II.

**5-8. The rater (DA Form 2166-8)**

- a. The rater will be—
  - (1) The immediate supervisor of the rated NCO for a minimum period of 90 rated days for all cases except Relief-for-Cause reports involving misconduct. In this case, the 90-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 NCO, including the State AG.
  - (2) A sergeant or higher, if military and senior to the rated NCO by either pay grade or date of rank.
- b. 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 (see table 3-1 for guidelines) providing input for the NCO's next evaluation.
- c. Commanders may appoint civilian employees of DOD, GS-07 and above, as raters when a first-line military supervisor is not available and when the civilian supervisor is 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 local commander (see also para 2-5c for requirement when military technicians are designated as raters).
- d. Members of other U.S. military services who meet the qualifications above may be raters.
- e. Members of allied forces are not authorized to be raters.

**5-9. The Intermediate Rater (DA Form 1059 only)**

- a. The intermediate rater is discussed in detail in paragraphs 2-6 and 2-14.
- b. The intermediate rater will be designated and serve for at least 90 calendar days in order to evaluate a rated officer or warrant. Exceptions to this policy are given in paragraphs 2-5, 5-19, 5-20, and 5-22.
- c. The intermediate rater will be a U.S. or allied Armed Forces officer or an employee of a U.S. Government or State agency.

**5-10. The senior rater**

- a. For both OER and NCOER, the senior rater is discussed in detail in paragraphs 2-7 and 2-15. Additional considerations for officers of the Chaplains Corps, JAGC, and AMEDD branches are in appendixes C, D, and E, respectively.
- b. For the OER, the senior rater evaluates the rated individual and normally—
  - (1) Performs the final rating chain review (see para 2-15). Senior rater may, at their option, evaluate a rated individual after being in the position 60 calendar days. They will evaluate the rated ARNG member after being in the duty position 90 calendar days (exceptions to this policy are given in paras 2-15, 5-18, and 5-22).
  - (2) The senior rater will be a U.S. Armed Forces officer or an employee of a U. S. Government or State agency and

qualified by rank, date of rank, and minimum number of days to render a senior rating for an ARNG rated member (see table 2-1 for a summary of the rules for designating the senior rater and para 2-7).

#### **5-11. Other rating chain qualifications and program responsibilities**

The exception in paragraph 2-4e applies to an ARNGUS CSM serving as an NCO Academy Commandant. The State CSM will be rated by the State AG.

#### **5-12. Review requirements and roles**

- a. Review requirements and roles are given in paragraphs 2-7 and 2-15.
- 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, a separate reviewer is always required (see para 2-17). There is no minimum time-in-position requirement for the reviewer to review the report.

### **Section III**

#### **Evaluation Principles, Forms, and Procedures**

#### **5-13. Evaluation forms and process**

a. Evaluation principles are outlined in DA Pam 623-3, chapter 2 (OERs), chapter 3 (NCOERs), and chapter 4 (AERs). In addition to the forms listed in DA Pam 623-3, there is NGB Form 25 (OER nonrated period), used by the ARNG to account for gaps among existing ARNG evaluation reports, missing ARNG reports, and for approved appeals. NGB Form 25 is electronically generated at HQ, NGB level. If a missing report cannot be reconstructed or located, the State AG will forward a summary of circumstances and the action taken, along with a request for an issuance of an NGB Form 25 to the ARNG Readiness Center, in accordance with paragraph 5-13d.

b. If the period in question qualifies as a nonrated period, then the procedure in paragraph 5-13d will be initiated.

c. If 2 years or more have elapsed since the ending date of the period in question, the period will be evaluated by the Officer Management Branch and NGB Form 25 issued if deemed appropriate.

d. Requests for issuance of an NGB Form 25 will be initiated at the lowest possible level, in memorandum format and on unit letterhead, and forwarded through normal OER processing channels to the ARNG Bureau to the address listed in appendix F. Intermediate-level activities will review the request to determine the accuracy of the information requested. 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 officer's name, rank, SSN, branch, State of assignment during the rated period in question, the applicable dates, and a brief narrative summary of the facts and circumstances. Copies of reports that serve to document a gap between evaluations need not be submitted if the reports have been previously forwarded to the Officer Management Branch for processing. The original NGB Form 25 will be forwarded to the State once it has been filmed on the rated officer's OMPPF.

e. If the nonrated period was served in a component other than ARNG, the rated officer will prepare and forward the request through the Officer Management Branch to the component concerned (HRC-Alexandria or HRC-St. Louis), requesting the issuance of a nonrated period statement.

f. NGB Forms 25 will be issued automatically by the Officer Management Branch for periods of Inactive National Guard (ING) status upon the rated officer's return from the ING.

#### **5-14. Officer evaluation report and noncommissioned officer evaluation report support forms**

OER and NCOER support forms are used by the rated ARNG member and rating chain as follows:

a. DA Form 67-9-1 documents the rated officer's principal duties, objectives, and significant contributions toward accomplishing the unit's mission and objectives discussed at the beginning of the rating period.

b. DA Form 2166-8-1 documents the rated NCO's principal duties, objectives, and significant contributions toward accomplishing the unit's mission and objectives discussed at the beginning and throughout the rating period.

c. The purpose of DA Form 67-9-1 and DA Form 2166-8-1 is to—

- (1) Increase advance planning and clarify the rated ARNG individual's rating chain, and relationship of performance to mission.
- (2) Encourage performance counseling and the best use of individual talent.
- (3) Document required initial and subsequent performance counseling sessions.
- (4) Provide information from the ARNG member's point of view for use by the ratings officials in completing their evaluations.

d. Purpose, use, and further details on DA Form 67-9-1 and DA Form 2166-8-1 are available in DA Pam 623-3, chapter 2 (OER) and chapter 3 (NCOER).

### 5-15. Developmental support form for officer evaluation

a. DA Form 67-9-1a is designed to support developmental actions and integrate same with performance for officers in the rank CPT/LT and warrant officers in the rank of CW2/WO1. As with DA Form 67-9-1, the rater directs the process, with active participation from the rated officer. The form is used to build a developmental plan based on tasks targeting major performance objectives listed on DA Form 67-9-1. The requirement is to record at least one developmental task in each doctrinal leadership action listed on the form.

b. The rater conducts quarterly counseling sessions to discuss performance and developmental progress with the rated officer and states key points discussed on the reverse side of the form.

c. The senior rater's role is to validate the initial developmental tasks and enforce developmental counseling.

d. The purpose of DA Form 67-9-1a is to—

(1) Institutionalize Army values and leadership doctrine as the common framework for officer development.

(2) Assist officer transition into Army leadership culture.

(3) Standardize officer developmental counseling.

(4) Further details on the use of DA Form 67-9-1a are given in chapter 3, section II.

### 5-16. Restrictions

a. In addition to the restrictions in paragraphs 3-20 through 3-41, the following provisions apply:

(1) *Changes to an evaluation.* Except to comply with this regulation, no person will change an evaluation. OERs and NCOERs members of the rating chain and the State military personnel officer will point out obvious administrative inconsistencies to the appropriate rating officials. After needed corrections are made, the record copy will be sent through the State military personnel office to the ARNG Readiness Center (see appendix F).

(2) *Unproven derogatory information.* Every effort will be made to complete or adjudicate investigations and actions, and to verify and include derogatory information in an evaluation before it is sent to the appropriate office for administrative processing. An evaluation, however, will not be delayed beyond the required 90 day time limit for this purpose. In accordance with chapter 3, section VIII of this regulation newly received, verified information that covers the period of the report may be forwarded as an enclosure to the appropriate administrative processing center (see Appendix H).

(3) *Referred reports (OER and AER only).* Detailed instructions for handling referred reports are given in paras 3-34, 3-35, and 3-36 and DA Pam 623-3, chapters 2 (OER) and chapter 4 (AER). An exception to the provisions of these paragraphs is that all reports will be sent to the ARNG Readiness Center.

b. Required reviews will be performed in accordance with—

(1) OERs, paragraph 2-18.

(2) NCOERs, paragraph 2-17.

c. All Relief-for-Cause OERs will be reviewed in accordance with paragraph 3-58. All Relief-for-Cause NCOERs will be reviewed in accordance with paragraph 3-59.

### 5-17. Preparation of reports

a. Reports may be mandatory or optional.

b. To determine if a rated individual meets the minimum calendar day requirements set by this section, nonrated periods occurring during the rating period (para 5-13, DA Pam 623-3, chap 2 (OERs), and chap 3 (NCOERs)) will be deducted from the total number of days the Soldier has served in the same position under the same rater during the same rating period.

c. Reports will not be submitted unless authorized by this regulation.

d. The provisions of paragraph 3-2h do not apply to ARNG officers being evaluated in accordance with this chapter.

### 5-18. Mandatory officer evaluation reports, 120-day minimum

a. *Basic rule.* Reports listed in this section and in chapter 3 are required if the rated individual has completed at least 120 calendar days, excluding nonrated periods (para 5-13 and DA Pam 623-3, chap 2), in the same duty position under the same rater during the same rating period. This rule does not apply to periods where an authorized DA Form 1059 is issued as that duty performance time is recorded on the AER and the time recorded as nonrated time on the OER.

b. *All reassignments not involving a change of component.* This includes transfer (PCS) to another State, another unit within the same State, or another duty position within the same unit. A change of duty OER will be prepared in these cases, provided that the minimum rated time criteria established in paragraph 5-18a or paragraph 5-19 are met. Transfer to other components reports, in accordance with DA Pam 623-3, table 2-3 (OER) and table 3-1 (NCOER), will still be used to reflect a change in component (RA or USAR).

c. *Annual evaluation.* An annual evaluation report is mandatory on completion of 1 year of duty following the THRU date of the last report submitted, until the 120-day requirement is met. An annual 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 report will be prepared after the officer returns to duty and completes the 120-day requirement.

*d. Departure on ADS, ADSW, or ADT for 30 days or more.* When an officer who has met the 120 day requirement departs on ADS, ADSW, or ADT for 30 calendar days or more with the NGB, State headquarters, or another agency, a report will be prepared. The parent unit will render a change of duty report, if the 120-day rule has been met prior to their departure. The unit or agencies to which the rated individual is assigned for AGR, ADS, ADSW, or ADT will render the reports covering those periods, to include nonrated periods prior to a change in status, if the 120-day rule was not met (see para 5-24).

*e. Officer recommended for elimination.* A report 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 a report 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 (AR 135-175).

(2) A selection board. This applies only if the officer has fewer than 3 years service and a report has not been submitted during the 120-day period immediately preceding the date of the officer's letter of rebuttal through the State military personnel officer to the Officer Management Branch (AR 135-175).

*f. Officer failing selection for promotion.* Officers who fail to be selected for promotion in the USAR will receive a report 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 were 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 report (para 5-22a).

(3) The minimum time requirement for the rater is satisfied.

*g. Departure of warrant officers to attend State Officer Candidate School.* When a warrant officer who has met the 120-day requirement departs to attend State Officer Candidate School, the parent unit will prepare a report. On successful completion, termination of enrollment, or unsatisfactory course completion, the Officer Candidate School commandant will prepare a DA Form 1059 on the warrant officer.

*h. For ARNG officers entering on duty with the Active Army.* The THRU date will be the day before the effective date of active duty. When an entire unit is mobilized, a report is not required unless otherwise required under chapter 3 (for example, change of rater/change of duty).

## **5-19. Mandatory officer evaluation reports, other than 120-day minimum**

*a. Basic rule.* Reports will be prepared on the occasions described in the following paragraphs and in chapter 3. Specific time requirements, if any, are listed in the descriptions of each occasion.

*b. Annual training.* A report will be rendered for any period that includes an AT period of at least 15 days. This applies only if there is a change of duty or other reason requiring a report, as discussed in paragraph 5-21 and chapter 3, section VII. The 15 days need not be performed consecutively; however, they will be performed in the same duty position under the same rating officials within a period covered by the report.

(1) The officer's rater will include a statement as the last item in the narrative (Part Vb) that the report has been prepared pursuant to this para. Active duty performed in a status other than AT (see para 5-19d) does not qualify for an OER under this paragraph unless the duty was performed in lieu of AT. In those cases, the rater will likewise add a certifying statement in the narrative.

(2) The provision above will not apply to ARNG NCO evaluations.

*c. Nomination for promotion to general officer.* A report will be submitted when an officer is being nominated for promotion to general officer (see AR 600-100, para 10-5c).

*d. ADT, ADS, and ADSW.* A report will be submitted for any period of 30 continuous calendar days or more spent on ADT, ADS, or ADSW, at NGB, State headquarters, or other agency (see para 5-18d). The preparing agency and the rated individual are jointly responsible to ensure that the evaluation has the correct nonrated code annotated with any nonrated period that may have accrued if the rated officer was not entitled to an OER upon departure under para 5-18d.

*e. Retirement.* When the rated officer is being transferred to the Retired Reserve for any reason and the report is the rated ARNG member's last report prior to transfer, the rater will indicate the grade and assignment for which the rated individual should be recalled to active duty in the event of mobilization (for example, colonel, installation Director of Personnel and Community Activities). Note: retirees recalled to active duty are not eligible to receive evaluation reports (see para 3-33).

*f. NGB directed.* A report will be submitted when directed by NGB to fill a need when other types of reports in this regulation do not apply. In rare instances, State AGs may request NGB to direct a report under specific situations. Such requests will be sent to the ARNG Readiness Center. The 120-day requirement does not apply to NGB-directed reports.

*g. ING reports.* Reports will not normally be submitted for members of the ING. However, an OER or NCOER will

be completed for those individuals attending AT and will be submitted to the State military personnel officer within 60 days of the ending date of the AT period. All other reports will be submitted to the state or ARNG Readiness Center within 90 days of the THRU date of the report.

**5-20. Mandatory noncommissioned officer reports**

*a. First reports.* The first NCOER is submitted on sergeants or above who have not been previously evaluated in the NCOER System. ARNGUS will prepare the first report for whichever of the following occurs first:

- (1) Immediate reenlistment or extension.
- (2) Transfer to the IRR.
- (3) Transfer to another ARNGUS unit.
- (4) Transfer to another RC.
- (5) Required for board action.
- (6) Change of rater.
- (7) Annual reporting month.

*b. Annual reports.* Annual reports will be prepared as of the last day of the month in table 5-1and under the following specifications:

(1) Annual reports will meet the 90-day minimum rating period and rater qualifications. The report period will be extended until these minimums are met.

(2) If another report has been submitted during the 3-month period preceding the end of the annual reporting month, an annual report will not be prepared. Those months not included in the last report are added to the next report, regardless of the purpose of that report. For example, if an NCO receives a Change-of-Rater report 2 months before the end of the annual rating period, the next report will include 14 months and be rendered on the schedule in table 5-2.

**Table 5-2**  
**Schedule for regular evaluation reports (ARNGUS)**

Grade	Prepare as of last day of reporting month
MSG/MSG and SGM/CSM	August
SFC	September
SSG	October
SGT	November

**5-21. The senior rater profile management technique (DA Form 67-9 only)**

For DA Form 67-9, the following actions will be taken at ARNG Readiness Center:

*a.* On arrival at the ARNG Readiness Center, the OER will be reviewed. The senior rater's Part VIIb. potential evaluation will be entered into the automated personnel record, and the OER rating history for that particular grade will be computed.

(1) If applicable, the senior rater's profile is computed, showing only those officers who are listed on the OER Master File maintained at the Officer Management Branch. The evaluation processing application will generate a label, which is overlaid on the senior rater's potential evaluation box check in Part VIIb (see paras 3-11and 3-12), indicating the results of a comparison of the senior rater's box check and the senior rater's profile for that grade and component. An electronically generated label stating "No Box Check" for MG, CPT, LT, CW5, CW2 and WO1 will be placed over the boxes in Part VIIb on the DA Form 67-9 for officers in these ranks. An electronically generated label stating "Not Evaluated" will be placed over this section for reports whose senior rater is not qualified.

(2) The profiled report will be sent to and filed in the rated officer's OMPF. Individual officers may obtain copies from their OMPF. Additional requests for profiled OERs will be forwarded to the Officer Management Branch.

(3) The original nonprofiled report as submitted by the unit will be kept on file at the Officer Management Branch for a period of 5 years after the THRU date.

*b.* The Part VIIb potential rating updates the senior rater profile report by—

(1) Tracking the rating history of each senior rater and making this information available to the senior rater, DA, ARNG, and State headquarters.

(2) Emphasizing the importance of the senior rater's responsibility to provide credible rated information to DA, ARNG, and State headquarters. This is one of the senior rater's most important responsibilities.

*c.* DA Form 67-9-2 (Senior Profile Report) contains administrative data, a current OER profile by grade (since the last restart), and a cumulative profile history.

(1) The total cumulative rating profile (DA Form 67-9-2) for each senior rater is maintained as an online report and is made available to senior raters by e-mail or requested by mail.

(2) The original DA Form 67-9-2 may be placed on the senior rater's OMPF and sent to the State MILPO for inclusion in the State management file.

(3) DA Form 67-9-2 will be prepared annually on each senior rater who has at least five different officers.

(a) One copy of the senior rater profile will be made available to each senior rater.

(b) A second copy will be filed in the senior rater's OMPF.

(c) A third copy will be forwarded to the State headquarters for inclusion in the State management file of each senior rater. States will ensure this copy does not go any lower than the State headquarters. This copy can be viewed by Federal recognition boards, selective retention boards, officer personnel classification boards, and career managers.

d. Senior rater profile re-starts will be coordinated and approved by the ARNG readiness center (see para 3-13). Senior raters may restart their profiles, in accordance with paragraph 3-13, by personally contacting the Officer Management Branch at the number listed in appendix F. No restart will be made until the senior rater and Officer Management Branch agree to the effective date and the grades to be effected and the minimum requirements are met (see contact information is available at appendix F of this regulation or on the web at [www.ngb.army.mil](http://www.ngb.army.mil)).

e. Senior raters may have up to three separate senior rater profiles, if they senior rate officers from different components. Each senior rater profile reflects only officers rated within grade and component. Accordingly, requests for reports will be addressed separately to the appropriate proponent headquarters (see app F).

f. A Relief-for-Cause report is required if an NCO is relieved for cause. The policy and guidance in paragraph 3-59 and DA Pam 623-3, chapter 3, apply to all ARNGUS NCOs, except that the minimum rating period is 90 rated days (3 continuous months).

g. Change-of-Rater reports are optional for ARNGUS NCOs whose duties change significantly with the change-of-rater and the NCO remains in the same unit. They are also optional for ARNGUS NCOs whose rater transfers within the unit. A Change-of-Rater report is required when an ARNGUS NCO or the rater—

(1) Transfers to another unit.

(2) Transfers to the IRR or another component.

(3) When directed by the chain of command in conjunction with a change-of-rater or change-of-duty assignment.

h. When the rated NCO is being transferred to the Retired Reserve for any reason and the report is the rated ARNG member's last report prior to transfer, the rater will indicate the grade and assignment for which the rated individual should be recalled to active duty in the event of mobilization (for example, sergeant first class, platoon sergeant). Note: retirees recalled to active duty are not eligible to receive evaluation reports (see para 3-33).

i. NCOERs for NCOs in the ING will normally not be submitted for members of the ING. However, the NCOER will be completed for sergeants and above who return to unit status to complete AT of more than 11 days and return to the ING upon completion of the AT period. A copy of the completed NCOER will be forwarded to the State Personnel Officer not later than 30 days after the ending date of the report. A copy will be given to the rated NCO and the original will be filed in the NCO's OMPF.

## 5-22. Optional reports

Reports in this para and in chapter 3, section IX, are submitted at the option of rating officials.

a. *Complete-the-Record (OER only)*. At the option of the rater, a report may be submitted on a rated officer who is about to be considered by a DA selection board for promotion or schooling (for example officers competing Senior Service College). However, the rated individual 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*. When a change in the senior rater occurs, the senior rater may direct that a report be made on any officer or NCO for whom they senior rate. This applies only if the following conditions are met:

(1) The senior rater has served in that position for at least 60 days (para 5-10b does not apply for officers senior rater option reports).

(2) The rater meets the minimum requirements to give a report.

(3) The rated individual has not received a report in the preceding 6 months.

c. *Rater option (OER only)*. When one of the conditions described in paras 3-44 through 3-47 or 5-21 occurs but there are fewer than 120 calendar days (excluding nonrated periods) in the rating period, a report 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.

## 5-23. Special officer and academic evaluation report processing at unit level

a. *Referred reports*.

(1) If a referral is required (para 3-34 or 3-35), the senior rater will personally refer the report to the rated officer

for acknowledgment and comment before sending it through the State military personnel officer to the Officer Management Branch.

(2) Other procedures for relief reports are as described in paragraph 2-19.

*b. Relief reports.* After relief reports (para 3-58) are referred to the rated officer as described above, referral will be completed before taking any actions in the following paragraphs.

(1) If the relief is directed by the rater or intermediate rater, senior raters will do the review provided they are ARNG officers (chap 2, section IV). Otherwise, the first ARNG officer in the chain of command above the individual directing the relief will review relief reports.

(2) The procedures for reviewing relief reports are as follows:

(a) If the senior rater is satisfied that the report is clear, accurate, complete, and fully in accordance with the provisions of this regulation, he/she will indicate in the narrative that the report complies with this regulation.

(b) If the senior rater finds that the report is unclear, contains factual errors, or is otherwise in violation of this regulation, he/she will return the 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 honest evaluation by the rater or intermediate rater. When the report has been corrected, it will be returned to the senior rater.

(c) If the corrected report is satisfactory to the senior rater, he/she will indicate in the narrative that the report complies with this regulation.

(d) If the corrected report is not satisfactory to the senior rater or if the other rating officials disagree with the need for changes in the report, he/she will indicate objections to the report in a narrative and forward the report. When indicating objections, the senior rater is restricted to the issues listed in para 2-19c.

(e) If the relief was directed by the senior rater or someone above the senior rater in the chain of command, the 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 functions described in 5-23b(2)(a) through (d) above using an enclosure to the OER, as described in figure 2-2.

#### 5-24. Preparation and submission of forms

*a. Preparation.* Evaluation forms will be typed or prepared electronically using an authorized application or forms creation package. Distinct, clear impressions are required so that legible copies of the report can be provided to the rated officer, State headquarters, and the ARNG Readiness Center. Authorized abbreviations may be used; however, avoid acronyms. ARNG State military personnel office codes and abbreviations are in table 5-3. Facsimile signatures are not authorized (see DA Pam 623, chap 2 (OER), chap 3 (NCOER) and chap 4 (AER) for process and procedures).

**Table 5-3**  
**ARNG State military personnel office codes and abbreviations**

Code	Abbreviation	State
01	AL	Alabama
02	AK	Alaska
04	AZ	Arizona
05	AR	Arkansas
06	CA	California
08	CO	Colorado
09	CT	Connecticut
10	DE	Delaware
11	DC	Dist Of Columbia
12	FL	Florida
13	GA	Georgia
66	GU	Guam
15	HI	Hawaii
16	ID	Idaho
17	IL	Illinois
18	IN	Indiana
19	IA	Iowa

**Table 5-3**  
**ARNG State military personnel office codes and abbreviations—Continued**

Code	Abbreviation	State
20	KS	Kansas
21	KY	Kentucky
22	LA	Louisiana
23	ME	Maine
24	MD	Maryland
25	MA	Massachusetts
26	MI	Michigan
27	MN	Minnesota
28	MS	Mississippi
29	MO	Missouri
30	MT	Montana
31	NE	Nebraska
32	NV	Nevada
33	NH	New Hampshire
34	NJ	New Jersey
35	NM	New Mexico
36	NY	New York
37	NC	North Carolina
38	ND	North Dakota
39	OH	Ohio
40	OK	Oklahoma
41	OR	Oregon
42	PA	Pennsylvania
72	PR	Puerto Rico
44	RI	Rhode Island
45	SC	South Carolina
46	SD	South Dakota
47	TN	Tennessee
48	TX	Texas
49	UT	Utah
50	VT	Vermont
51	VA	Virginia
78	VI	Virgin Islands
53	WA	Washington
54	WV	West Virginia
55	WI	Wisconsin
56	WY	Wyoming

(1) After the report is completed by the rating officials, the evaluation form is forwarded by the State military personnel officer to the ARNG Readiness Center. Distribution for ARNG reports is in table 5-4.

**Table 5-4**  
**Disposition of ARNG evaluations**

Category	Evaluation originates from:	Through:	To:
AGR Title 10 (except USPFO)	Agency to which assigned		ARNG Readiness Center See Appendix F:
USPFO	State AG	Army National Guard Readiness Center (see app F)	ARNG Readiness Center
AGR Title 32	Unit	State AG	ARNG Readiness Center
ADSW/ADT (on duty in State)		State AG	ARNG Readiness Center
ADSW/ADT (outside the State)	Agency to which attached		ARNG Readiness Center
Traditional guard	Unit	State AG	ARNG Readiness Center

(2) Rated ARNG members who fail to receive a copy of their individual evaluation within 90 days after the close of the reporting period will request a copy from the appropriate State military personnel officer.

(3) The ARNG Readiness Center will reproduce and provide an ARNG member with a copy of one or more official evaluation upon written request by the officer or an authorized representative in accordance with AR 600-8-104, chapter 2. In this case, officers and noncommissioned officers can address requests to the ARNG Readiness Center (see appendix F).

*b. Forwarding.* The responsible State military personnel officer will provide the rated individual a copy of the report when it is completed. The State AG may have one of the rating officials give the rated ARNG member the completed copy. If so, the State military personnel officer will forward the report to the official so that they may present the completed copy. Confidentiality will be ensured. If the rated individual departs before receiving a copy of the completed report, the State military personnel officer will send the rated ARNG member's copy to the forwarding address provided by the rated officer. The State military personnel officer will retain an additional copy in suspense for 120 days in case the rated officer does not receive the mailed copy. The State's military personnel officer will ensure that—

(1) Reports are complete and administratively correct.

(2) The original paper copy of evaluation report is placed unfolded in an envelope and forwarded with letter of transmittal to the ARNG Readiness Center. Registered or certified mail will be used only when reports contain derogatory or classified information. (This report is exempt under AR 335-15, para 7-2h.) If sent electronically it will be under an authorized method and sent to the correct location.

(3) Reports reach the ARNG Readiness Center not later than 120 days after the ending day of the report for OERs and 90 days for NCOERs. Timely submission of reports is a consideration in view of their impact on personnel actions. Because personnel actions are based on available records, late submission of an evaluation report may result in inequity to either the individual or the ARNG. Centralized selection, promotion, and school boards schedule will be closely monitored to ensure eligible reports, both mandatory and optional, are forwarded to HQDA in sufficient time to be included in a Soldier's board file.

(4) Completed OERs for ARNG officers on specified tours of duty are submitted.

(a) Completed original reports for officers on tours in the positions of Chief, NGB and Director and/or Deputy Director, ARNG will be forwarded directly to HQDA HRC-Alexandria to the address indicated in appendix F.

(b) Completed original reports for officers serving on AGR tours under the provision of 10 USC and who are not on the active duty list will be forwarded directly to HQDA, HRC-St. Louis to the address listed in appendix F.

*c. Enclosures.* See paragraph 3-38 for policy on enclosures.

*d. Access to reports.* Access to reports in the ARNG Readiness Center and State headquarters is limited to 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 persons having command, administrative, or rating official responsibility for the report.

#### **5-25. Modifications to previously submitted reports**

*a.* An evaluation report accepted by the ARNG officer or Enlisted Management Branch for processing to completion and inclusion in the official record of a rated individual presumed to—

- (1) Be administratively correct.
  - (2) Have been prepared by properly designated rating officials.
  - (3) Represent the considered opinions and objective judgment of the rating officials at the time of completion.
- b.* Any request that an official report be altered, withdrawn, or replaced with another report will not be honored.
  - c.* Once the evaluation has been placed on the officer's OMPF, administrative changes will be accomplished only by the Officer Management Branch when requested by the State military personnel officer. No changes will be made at State level.
  - d.* Per the policies in section VIII or in chapter 3, necessary correspondence will be sent through the State military personnel officer to the ARNG Readiness Center.

#### **5-26. Warrant officer evaluations**

Rating chains will recognize the basic differences between warrant and commissioned officers when evaluating performance and potential. Appendix B describes these differences and gives the policies and instruction unique to warrant officer evaluations.

### **Section IV Redress and Appeals**

#### **5-27. Processing appeals**

Policy and procedures for processing evaluation appeals are in chapter 6. The Chief, NGB is responsible for screening and acting on, or forwarding, all appeals submitted by ARNG members for periods of ARNG service.

#### **5-28. Submission of documents**

- a.* Procedures for processing Commander Inquiries are as described in chapter 6; however, inquiries will be forwarded as necessary to the ARNG Readiness Center, Officer Management Branch, through the State military personnel officer.
- b.* Appeals will be submitted in memorandum format as discussed in chapter 6. They will be sent directly to the address in appendix F by the appellant.
- c.* 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 the Officer Management Branch appeals technician assigned to the case for questions that may arise during the adjudication process, and the appellant. 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 an actual or anticipated appeal will be addressed to the Appeals and Analysis Section officer or Enlisted Management Branch.

## **Chapter 6 Evaluation Redress Program**

### **Section I Managing the Redress Program**

#### **6-1. Overview**

- a.* The Evaluation Redress Program consists of several elements at various levels of command (for example, field, USA HRC, Deputy Chief of Staff, G-1 (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 67-9-1 and DA Form 2166-8-1, which affords the rated officer or NCO a forum for establishing duty requirements and a discussion of actual accomplishments (chap 3, sec II, and DA Pam 623-3). A second element is the various regulatory requirements, such as each report standing on its own without reference to facts or events occurring prior or subsequent to the rated period (para 3-20); the prohibition against command influence on rating officials during the preparation of reports (paras 1-11, 3-21, 3-22, and DA Pam 623-3, chaps 2, 3, and 4).
- c.* If an officer's (commissioned or warrant) evaluation report is referred, there is the evaluation referral and acknowledgment process (para 3-36 and DA Pam 623-3).
- d.* Beyond regulatory remedies, elements of the Redress Program Commander's Inquiry (sec II, this chapter), the

Appeals System (sec III, this chapter), and application to the Army Board for Correction of Military Records (ABCMR) under the provisions of AR 15-185 are available.

*e.* This chapter focuses on the policies, procedures, preparation, and submission of a Commander's Inquiry and an Evaluation Appeal.

## **6-2. Information**

*a.* Officer evaluation reports (DA Form 67-9 series), NCO evaluation reports (DA Form 2166-8 series), or academic evaluation reports (DA Form 1059 series) may have administrative errors or may not accurately record the rated individual's potential or the manner in which he/she performed their duties. The 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. Commander's Inquiry and Evaluation Appeals are separate actions. Rated individuals may seek an initial means of redress through a Commander's Inquiry; however, a Commander's Inquiry is not a prerequisite for submission of an 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. Evaluated individuals considering submission of an appeal are strongly encouraged to read the appeals section of this pamphlet in its entirety prior to preparing and submitting one. A thorough understanding of the appeals system can save considerable time and effort and reduce the anxiety associated with having an appeal returned without consideration.

## **Section II**

### **Commander's or Commandant's Inquiry**

#### **6-3. Applicability**

Commanders (OER and NCOER) or Commandants (AER) are required to look into alleged errors, injustices, and illegalities in evaluation reports. This section does not pertain to AER evaluations provided by civilian educational, medical or industrial institution because there is no military command structure available.

#### **6-4. 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 individual or anyone authorized access to the report (para 1-11). The primary purpose of a Commander'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. 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 also chap 3, sec VIII, for restrictions on modifications to already accepted reports). The provisions of AR 15-6 do not normally apply to inquiries of this type. However, the commander may determine that the provisions of AR 15-6 apply in specific instances.

#### **6-5. Policy**

*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 individual 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 (but are not limited to):

(1) Improperly designated or unqualified rating officials. (For example, rating officials who have had substantiated findings against them from an official investigation).

(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.* The official conducting the inquiry will not pressure or force rating officials to change their evaluations.

*d.* The official conducting the inquiry may not evaluate the rated individual, either as a substitute for, or in addition to, the designated rating officials' evaluations.

*e.* The rating chain or official conducting the inquiry will not use the Commander's Inquiry (OER or NCOER) or Commandant's Inquiry (AER) provisions to forward information derogatory to the rated individual. If the inquiry reveals matters that might result in a lower evaluation on an OER or an AER, the information will be processed as an addendum in accordance with paragraphs 3-41 and 3-42.

f. 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 individual's OMPF, 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. The inquiry will be forwarded to HQDA not later than 120 days after the signature date of the senior rater (OER) or reviewer (NCOER) or authenticating official (AER).

g. The results of the inquiry that are forwarded to HQDA will include the findings, conclusions, and recommendations in a format that could be filed with the evaluation in the rated individual's OMPF for clarification purposes. The results, therefore, 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 documentation, such as reports and statements, will be attached to justify the conclusions.

h. If the Commander finds no fault with the evaluation, then the Commander's Inquiry is filed locally and a copy given to the rated individual. There is no requirement to send the Commander's Inquiry forward to HQDA.

## 6-6. Tasks

Operating tasks for conducting a Commander's or Commandant's inquiry are outlined in table 6-1.

**Table 6-1**  
**Steps in conducting a Commander'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, or AER in question. Request is to be submitted to a commander above the designated rating chain.
2	Commander/commandant	If, after looking into the allegations, no error, violation of the regulation, or wrongdoing is found, advise the individual requesting the inquiry and take no further action other than ensuring that the evaluation is forwarded to HQDA as expeditiously as possible. If the commander wishes, 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.
3	Commander/ commandant	If an error, violation of the regulation, or wrongdoing has occurred and the evaluation has not been forwarded to HQDA, the commander 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 (paras 1-11 and 6-5c). 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, or AER only is forwarded); the results of the inquiry remain with the commander.
4	Commander/ 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 will forward the evaluation report and the results of the inquiry to the appropriate agency listed in appendix F.
5	Commander/commandant	If the commander or commandant finds that a report already forwarded to HQDA contains errors or is in violation of this regulation, they will forward the results of the inquiry to the address indicated in step 4 above. Sufficient documentation, such as report and statements will be attached to justify the conclusion.

## Section III

### Evaluation Appeals

#### 6-7. Policies

a. An evaluation report accepted for inclusion in the official record of a rated Soldier's OMPF 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 (see para 3-39).

b. Appeals based solely on statements from rating officials claiming administrative oversight or typographical error of an OER, NCOER, or AER will normally be returned without action unless accompanied by additional substantiating evidence (para 6-7f and 3-39).

c. The rated Soldier or other interested parties who know the circumstances of a rating may appeal any report that 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.
- (d) Office of TJAG.
- (e) Office of the Chief of Chaplains.
- (f) U.S. Army Reserve Personnel Center.
- (g) NGB.

(2) Other individuals knowing of an alleged rating injustice will contact one of the above agencies or the rated individual.

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 provision 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 6-11). An appeal that alleges a report is incorrect or inaccurate or unjust without usable supporting evidence will not be considered. The determination regarding adequacy of evidence may be made by HRC (AHRC-MSE-A), AHRC-PAV-EA, NGB-ARP-C (Appeals Section); USABREC (Active Army); PCRE-RP-A or the appropriate State AG (ARNGUS) in coordination with the DCS, G-1 (DAPE-MPO-S).

g. The BN S-1, BDE S-1, RSC, and MPC administrative office servicing the rated Soldier's unit may request minor administrative changes to an accepted report. However, the request will be accompanied by substantiating evidence. The type of evidence that could be used includes a certified copy of the DA Form 2-1, orders, duty appointment documents, or personnel data card. These requests are not appeals. See DA Pam 623-3 for forwarding appeals for active duty ARNG, HRC-Indianapolis, and USAR appeals (addresses are in app F).

h. Appeals based on administrative error only will be adjudicated by the HRC-Alexandria for active duty officers, Appeals and Corrections Branch (AHRC-MSE-A), the HRC-Indianapolis (AHRC-ERP) for active duty enlisted, the HRC-St. Louis (AHRC-PSV-E) for reserve officer and enlisted, and NGB (NGB-ARP) for guard officer and enlisted.

(1) Claims of administrative error pertain to—

- (a) DA Form 67-9, Parts I, II, IIIb, c, d, and IVc.
- (b) DA Form 2166-8, Parts I, II a through d, III a through f.
- (c) DA Form 1059, Parts 1 through 12.

(2) Such claims may include but are not limited to deviation from the established rating chain, insufficient period of observation by the rating officials, errors in the report period, and errors in the height/weight.

(3) It should be noted that the rated Soldier's authentication in Part II of a DA Form 67-9 or DA Form 2166-8 verifies the information in Part I. 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 performance and height and weight data entries made by the rater. Appeals based on alleged administrative errors in those portions of a report previously authenticated by the rated Soldier (Parts I, II, and IIIa) will be accepted only under the most unusual and compelling circumstances. The rated soldier's signature also verifies the rated soldier has seen a completed evaluation report. Correction of minor administrative errors seldom serves as a basis to invalidate an evaluation report. Removal of a report for administrative reasons will be allowed only when circumstances preclude correction of errors, and then only when retention of the report would clearly result in an injustice to the Soldier (see figs 6-1 and 6-2 for examples of formats of administrative appeals).

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(Letterhead)

(Office Symbol) (MARKS Number)

(DATE)

MEMORANDUM FOR (Appropriate Agency)

SUBJECT: Minor Correction to Evaluate Report (Rated Soldier's Name, Rank, PMOS, SSN)

1. This is a request for minor correction to the evaluation report for the period (report period).
2. (Identify specific portion of report, state 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 Soldier.)
5. (Give a POC and DSN number. Also include the rated Soldier's mailing address and DSN number, in the event an inquiry is necessary. ARNGUS and USAR soldiers not on active duty may include commercial telephone numbers.)

FOR THE COMMANDER:

Encls

1. Copy of report  
(number and list encls of  
appropriate evidence)

(Signature block)

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Figure 6-1. Example of a unit action request

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(Letterhead)

(DATE)

(Office Symbol) (MARKS Number)

MEMORANDUM FOR (Appropriate Agency)

SUBJECT: Evaluation Report Appeal (report period) (Appellant's Name, Rank, PMOS, SSN)

1. Under the provisions of AR 623-3, chapter 6, I appeal the evaluation report (report period). (Include pending personnel actions and appeal processing priority.)
2. This appeal is based solely on administrative error. (Identify each portion of the report with which you disagree. State the entry as it now appears and as it correctly should appear.)
3. (Include certified true copies of related documents to support your request, for example, rating schemes in effect throughout the entire report period, orders, leave and earning statements, APFT score (DA Form 705), or other verifying documents. Original statements from knowledgeable individuals also may support your request.)
4. (Be sure to include a telephone number, preferably DSN. Notify addressee promptly if your address changes.)

Encls  
1. Copy of Report  
(number and list encls  
of appropriate evidence)

(Signature block)  
(Mailing address if other  
than address on letterhead)

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Figure 6-2. Example of a format administrative appeal

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*i.* Alleged bias, prejudice, inaccurate or unjust ratings, or any matter other than administrative error are substantive in nature and will be adjudicated by the DCS, G-1 Special Review Board (SRB) (para 6-12).

(1) Claims of inaccuracy of a substantive type pertain to—

(a) OER addenda and DA Form 67-9, Parts IIIa, IVa, b, d, V, VI and VII.

(b) NCOER addenda and DA Form 2166-8, Parts III, IV, and V.

(c) AER addenda and DA Form 1059, Parts 13-17.

(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 figs 6-3 and 6-4 for examples of formats of substantive appeals).

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(Letterhead)

(Office Symbol) (MARKS Number)

(Date)

MEMORANDUM FOR (Appropriate Agency), ATTN: (Appropriate address)

SUBJECT: Evaluation Report Appeal (report period) (Appellant's name, rank, BR, SSN)

1. Under the provisions of AR 623-3, chapter 6, I appeal the evaluation report (report period). (Include your current promotion/career status, pending personnel actions and appeal processing priority.)
2. The basis of this appeal is substantive inaccuracy. (Use this paragraph to briefly identify the specific portion of the report and the basis of your disagreement. Avoid general allegations. Be clear, brief, and specific. If a detailed explanation is essential to your appeal, include your own statements as an enclosure to the appeal. Limit the information in this letter to basic facts. Be sure to support your appeal with relevant statements from knowledgeable observers.)
3. (Request the specific corrective action you believe is justified by the evidence you provide. Your request may be a single change to one portion or removal of the entire report. Your request must be supported by sufficient evidence to warrant such correction.) (If the OER exceeds the 5- or 3-year limit as outlined in paragraph 6-7, add a paragraph explaining why a waiver should be granted. Only exceptional justification will be accepted by the Special Review Board that is the approval authority on the waivers.)
4. (Provide a telephone number, preferably DSN.)

Enclosures

1. Copy of Report  
(number and list encls of  
appropriate evidence)

(Signature block)

(Mailing address if other  
than address on letterhead)

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Figure 6-3. Example of a format of substantive appeal

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(Letterhead)

(Office Symbol) (MARKS Number)

(Date)

MEMORANDUM FOR Appropriate Agency, ATTN: (Appropriate Address)

SUBJECT: Evaluation Report Appeal (report period) (Appellant's name, rank, Br, SSN)

1. Under the provisions of AR 623-3, chapter 6, I appeal the evaluation report (report period). (Include your current promotion/career status, pending personnel actions and appeal processing priority.)
2. This appeal is based on claims of both administrative and substantive error. (Identify the specific portion of the report you believe is in error. State the entry as it now appears and as it should appear. Support your claim of technical error with certified true copies of verifying documents, for example, rating schemes in effect throughout the entire report period, orders, leave and earnings statements, APFT scores (DA Form 705) or other related documents.)
3. The substantive error is.... (Identify the specific portions of the report and state you disagreement. Be clear, brief, and specific. Limit your explanation to basic facts. If detailed information is essential, add your own statement as an enclosure to the appeal. Provide original statements from knowledgeable individuals, independent of the rating chain. Statements from the rating officials may be added as supplemental information.)
4. (Request the specific changes you believe are justified by the evidence you provide. Your request may be a combination of changes or total removal of the report. Remember that you must document your request with sufficient evidence to warrant corrective action.) (If the OER exceeds the 5- or 3-year limit as outlined in paragraph 6-7, add a paragraph explaining why a waiver should be granted. Only exceptional justification will be accepted by the Special Review Board that is the approval authority on the waiver.)
5. Provide a telephone number, preferably DSN.

Enclosures

1. Copy of Report  
(number and list encls of  
appropriate evidence)

(Signature block)  
(Mailing address if other  
than address on letterhead)

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Figure 6-4. Example of a format of combined administrative and substantive appeal

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j. After resolution of the appeal, the appropriate Active Duty, USAR, or ARNGUS HQDA reviewing agency amends the rated individual's records, if appropriate. If the rated individual has been nonselected for promotion, the SRB will also determine if promotion reconsideration is warranted as a result of the change to the OER, NCOER, or AER.

#### **6-8. Timeliness**

a. Because evaluation reports are used for personnel management decisions, it is important to the Army and the rated individual that an erroneous 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. Substantive appeals will be submitted within 3 years of an OER, NCOER, or AER THRU date. Failure to submit an appeal within this time may be excused only if the appellant provides exceptional justification to warrant this exception.

c. Administrative appeals will be considered regardless of the period of the report and a decision will be made in view of the regulation in effect at the time the report was rendered. The likelihood of successfully appealing a report diminishes, as a rule, with the passage of time. Prompt submission is, therefore, recommended.

#### **6-9. Processing and resolution**

a. Receipt of appeals will be acknowledged directly to the originator/requestor. The time required to process an appeal varies greatly depending on the complexity of the issues involved, the age of the evaluation being appealed, and so on. Appeals are processed in priority (see para 6-10) by date of receipt.

b. Appeals will be screened by the reviewing officials to separate claims of administrative error from claims of inaccuracy or injustice of a substantive nature. USA HRC, HRC-St. Louis, USAEREC, or the NGB resolve claims of administrative error. Claims of substantive inaccuracy or injustice will be sent through the rated individual's career management division for adjudication by the appropriate SRB (see app F).

c. 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 that 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.

d. 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 HQDA SRB will make a determination whether promotion reconsideration by one or more special boards is justified.

e. The reviewing agency will notify each appellant by memorandum of the appeal decision and promotion reconsideration eligibility, if applicable. When an appeal is denied, a copy of the memorandum of notification will be filed in the performance portion of the OMPF next to the contested evaluation report. The appeal correspondence that resulted in a denied or a partially approved appeal will be placed on the restricted portion of the OMPF. Documents that apply to appeals that are returned without action because of a lack of usable evidence will not be filed in the OMPF. In the case of an invalidated report, a memorandum will be placed in the performance portion of the OMPF declaring the period as nonrated time. In the case where a portion of a report is removed or corrected, the report will be corrected and placed in the performance data of the OMPF. A notation is placed at the bottom of the report to indicate the report is a "corrected copy."

f. If the appeal is denied, an appellant may seek new or additional evidence and submit a new appeal, or may submit an appeal to the next agency in the Army's redress system, the Army Board for Correction of Military Records (ABCMR). The ABCMR is governed by AR 15-185. If the case was initially decided by the SRB, a case summary of the board's consideration is available under the Freedom of Information Act/Privacy Act (FOIA/PA). A request per AR 25-55 and AR 340-21 for a case summary under the FOIA/PA will be sent to: HQDA (DAPE-ZXI-IC), Washington, DC 20310-0300. The original copy of the appeal will be returned to the rated individual regardless of the decision.

#### **6-10. Priorities**

Appeals are processed in the order of priority listed below. Appellants will identify the priority of their appeals and notify the reviewing agency of any change in their status that would affect the priority.

a. *For Officers Evaluation Reports and Academic Evaluation Reports.*

(1) First priority are appeals pertaining to officers who have been—

(a) Twice not selected for promotion and given a directed discharge, release, or mandatory retirement date within 6 months.

(b) Selected for release within 6 months by a DA Elimination Board or an AGR Continuation Board.

(c) Recommended for elimination within 6 months. This also applies to officers who have applied for and have been denied Voluntary Indefinite category.

- (2) Second 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 priority are appeals not eligible for higher priority.
  - b. *For Noncommissioned Officer Evaluation Reports.*
    - (1) First 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 (ETS), or mandatory retirement date.
      - (b) Selected for release under the DA Qualitative Management Program/ARNGUS 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 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 priority are appeals not eligible for higher priority but, if favorably considered, might result in a material change in an NCO's records.

### 6-11. Burden of proof and type of evidence

- a. The burden of proof rests with the appellant. Accordingly, to justify deletion or amendment of a report, the appellant will produce evidence that establishes clearly and convincingly that—
  - (1) The presumption of regularity referred to in paragraphs 3-39 and 6-7 will not be applied to the 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 chain used by the organization during the period of the report being appealed.
    - (2) Assignment, travel, or temporary duty orders.
    - (3) Electronic military personnel office or administrative human resource documents.
    - (4) Leave records.
    - (5) Organization manning documents.
    - (6) Hospital admission and disposition sheets.
    - (7) Statements of military personnel officers or other persons who know the situation (see figs 6-5 and 6-6 for request, third-party support, and the format for a memorandum of third-party support).
    - (8) The results of a Commander's or Commandant's Inquiry.
    - (9) Other documents bearing on the point of question.
  - 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, chap 6). 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 practical, such statements will include specific details of events or circumstances leading to inaccuracies, misrepresentations, or injustice at the time the report was rendered. The results of a Commander's or Commandant's Inquiry 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 and evaluation. However, these are not controlling documents in terms of what is entered the evaluation form. Therefore, no appeal may be filed solely because the information on a support form or counseling form, or because the comments of rating officials on the evaluation form are not identical to those in the applicable support forms or counseling forms. 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 form to be considered when evaluating a rated individual. Evaluation reports written based on the findings of an AR 15-6 Investigation will be provided as an enclosure to the appeal. In addition, if there was a Commander's or Commandant's Inquiry conducted, the results of the inquiry will be added as an enclosure to the appeal.
  - f. For DA Form 67-9 appeals that claim an error in the sequencing of OERs into the senior rater profile will not be accepted. The profile reflects the total of all reports in a single grade written by that senior rater and received and

accepted at HQDA as of the day the new report is accepted. Reports may be delayed in mail handling and administrative processing. The official profile 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 the DA maintained profile will not be honored. It is incumbent on the senior rater to ensure reports process at HQDA in the desired sequence. This provision does not apply to DA Form 2166-8 or DA Form 1059.

g. In evaluating the whole Soldier, rating officials may consider the fact that a rated individual 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 "center of mass" or lower evaluation of a rated officer's potential in order to preserve "above center of mass" ratings for other officers or NCOs (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for appeal.

#### **6-12. Special Review Board**

a. The DCS, G-1 SRB is established under the provisions of DA Memorandum 600-1 and operates within the guidelines established in this regulation. It is composed of senior officers, warrant officers, and NCOs on duty at HQDA. At least three members of the board constitute a quorum for voting on each case. Board recommendations are based on a majority vote. When practical, 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 nonadversary; 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 is competent, material, and relevant. The appellant or their agent is not 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 generally be contacted by the appropriate HQDA Appeals and Corrections branch office (see app F). Normally, the board will not contact those who provided a third-party statement of support unless there is a need for clarification.

#### **6-13. Appeals based on substantive inaccuracy**

a. A decision to appeal an evaluation will not be made lightly. Before deciding whether or not to appeal, the prospective appellant will analyze the case dispassionately. This is difficult but unless it is done, the chances of a successful appeal are reduced. 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, 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 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. Note that a personality conflict between the appellant and a rating official does not constitute grounds for a favorable appeal; it will 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. Some of the factors needing consideration:

(1) The evidence will support the allegation. The appellant needs to remember that the case will be reviewed by a board of impartial officers who will be influenced only by the available evidence. Their decision will be based on their best judgment.

(2) Correcting minor administrative errors or deleting one official's rating does not invalidate the report.

#### **6-14. Preparation**

Steps for preparation of an appeal are contained in table 6-2.

**Table 6-2**  
**Appeal preparation and checklist**

Step	Work center	Action required
1	Appellant/ interested party	Review this chapter and DA Pam 623-3 to determine if an appeal submission is warranted.
2	Appellant/ interested party	Prepare the appeal in memorandum format on letterhead or white bond paper.
3	Appellant/ interested party	Ensure the appeal identifies the full name, SSN, rank, branch of the rated individual, return mailing address (home address is preferred), Defense switched network (DSN) or commercial phone number and AKO e-mail address of the appellant.
4	Appellant/ interested party	Ensure the first paragraph indicates the appeal is being submitted under the provisions of chapter 6. The appeal will also-- (a) Indicate the period of the report being appealed. (b) State the basis for the appeal (administrative error, inaccuracy of a substantive type, or both). (c) Cite the processing priority. (d) Reference supporting evidence. (e) The AKO e-mail address of the appellant. (f) The mailing address: prefer home or unit address of the appellant. (g) The phone number: prefer home or unit phone number of the appellant.
5	Appellant/ interested party	Follow the guidelines outlined below when submitting evidence in support of the appeal: (a) Administrative appeals will be proven by original or certified true copies of appropriate documents. (b) Substantive appeals will be supported by originals of typed statements from knowledgeable observers or rating officials during the report period. (c) Statements from rating officials will not be the sole basis of the appeal. (d) Documents such as Army Training and Evaluation Program, annual general inspection, Command Inspection results, and so on may be useful in supporting a substantive appeal. (e) Statements provided in support of appeals will be originals. Other documents will be certified true copies, if the original document is not provided. (f) A copy of the OER in question will be included in the appeal. (g) Each appeal will be complete when received. An appeal will not be forwarded or considered until all supporting documentation is enclosed. Officials wishing to provide statements in support of an appeal will provide them to the officer concerned and not to the reviewing authority. No action will be taken on miscellaneous, unaccompanied statements or documents received at HQDA. They will be forwarded to the appellant.
6	Appellant/ interested party	Submit completed appeal in original and one duplicate copy directly to the appropriate agency: (a) For active component officer: CDR, HRC, ATTN: AHRC-MSE-A, 200 Stovall Street, Alexandria, VA 22332-0442 (b) For officer and enlisted USAR: CDR, HRC-St. Louis, ATTN: AHRC-PAV-EA, 1 Reserve Way, St. Louis, MO 63132-5200. (c) For officer ARNG: NGB, ARNG Readiness Center, ATTN: NGB-ARP-C (Appeals Section), 111 S. George Mason Dr. Arlington, VA 22204-1382. (d) For enlisted active component: CDR, U.S. Army Enlisted Records and Evaluation Center, ATTN: PCRE-RE, 8899 East 56th Street, Indianapolis, IN 46249-5301 (e) For ARNGUS enlisted: (1) For administrative error: The State AG (appropriate state) (2) For substantive error: CNGB, ARNG Readiness Center, ATTN: NGB-ARP-PE, 111 S. George Mason Dr., Arlington, VA 22204-1382
7	Appellant/ interested party	Before mailing, review to ensure all enclosures are included, all signatures and dates are on all documents and address and phone number are present. Enclose complete original and copy of appeal in a secure container, mailing envelope or heavy wrapping, as required.
8	Appellant/ interested party	Notify the appropriate agency promptly if address or priority changes. Appellants are notified in writing, of appeal decisions. If not totally approved, appellants may request a copy of the SRB case summary, if appropriate, and submit a second appeal strengthened by additional evidence. As an alternative to reconsideration, appellants may apply to the ABCMR under the provisions of AR 15-185.

---

(Letterhead)

(Office Symbol) (MARKS Number)

(DATE)

Dear ( ):

SUBJECT: Evaluation Report Appeal (Report period)  
(Appellant's Name, Rank, PMOS, SSN)

The purpose of this letter is to seek your assistance in my effort to appeal successfully an evaluation report rendered for the (report period), while I served as (appellant's duty position).

(In the body of the request letter cite those portions of the contested report you would like to have addressed by the recipient of the letter. You may wish to also enclose a copy of the contested report. Request that the addressee follow the sample format for a third party letter of support and include a copy of that sample.)

(To be of assistance to the addressee, you may wish to enclose a self-addressed, stamped envelope and mention in the letter that this has been done.)

(In closing, you may wish to urge a prompt response and thank the addressee in advance for any and all assistance he/she might provide).

Encls

Sincerely

(Signature block)

(Mailing address if other  
than address on letterhead)

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Figure 6-5. Example of a format of letter requesting third-party support

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(Letterhead)

(Office Symbol) (MARKS Number)

(DATE)

MEMORANDUM FOR\*

SUBJECT: Supporting Statement for Evaluation Report Appeal of (Appellant's Name, Rank, SSN)

(During (report period) I served as (author's duty position and unit of assignment). In that position, I observed (appellant's name, followed by words describing the frequency or closeness of observation, including, if appropriate, whether author was knowledgeable of the working relationship between the appellant and the rating chain or their expectations of him/her.)

(In the body of the support memorandum/letter, relate any first-hand knowledge of events and circumstances that might be of assistance to the appellant in attempting to individually refute the specific shortcomings for which he/she was faulted on the contested evaluation report.)

(Provide a telephone number, preferably DSN, where you may be reached by the Board, if clarification is necessary.)

(Signature block)

\*Memorandum may be addressed to the rated Soldier, whom it may concern, or the agency that will adjudicate the appeal. However, the statement must be provided to the rated Soldier for inclusion with the appeal.

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Figure 6-6. Example of a format of third-party letter of support

## **Appendix A References**

### **Section I Required Publications**

#### **AR 165-1**

Chaplain Activities in the United States Army. (Cited in para C-6.)

#### **AR 600-9**

The Army Weight Control Program. (Cited in paras 3-34, 4-8k.)

#### **AR 600-20**

Army Command Policy. (Cited in paras 2-5c(1), 2-5b(1), 3-29a, 3-37a, 3-58a, E-3a.)

#### **DA Pam 600-3**

Commissioned Officer Development and Career Management. (Cited in paras 5-3d, B-2b.)

#### **DA Pam 623-3**

Evaluation Reporting System. (Cited in chaps 1, 2, 3, 4, and 5.)

#### **FM 21-20**

Physical Fitness Training. (Cited in para 1-2.)

#### **FM 22-100**

Army Leadership. (Cited in para 1-2.)

### **Section II**

#### **Related Publications**

A related publication is a source of additional information. The user does not have to read a related publication to understand this publication. U.S. Code is available at [www.gpoaccess.gov/uscode](http://www.gpoaccess.gov/uscode).

#### **AR 1-201**

Army Inspection Policy

#### **AR 11-2**

Management Control

#### **AR 15-6**

Procedure for Investigating Officers and Boards of Officers

#### **AR 15-185**

Army Board for Correction of Military Records

#### **AR 25-55**

The Department of Army Freedom of Information Act Program

#### **AR 27-1**

Legal Services, 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 Procedures

**135-175**  
Separation of Officers

**AR 135 -200**  
Active Duty for Missions, Projects and Training for Reserve Component Soldiers

**AR 135-215**  
Officer Periods of Service on Active Duty

**AR 140-145**  
Individual Mobilization Augmentation (IMA) Program

**AR 200-3**  
Natural Resources: Land, Forest, and Wildlife Management

**AR 310-50**  
Authorized Abbreviations and Brevity Codes

**AR 335-15**  
Management Information Control System

**AR 340-21**  
The Army Privacy Program

**AR 350-1**  
Army Training and Education

**AR 350-10**  
Management of Army Individual Training Requirements and Resources

**AR 351-3**  
Professional Education and Training Programs of the Army Medical Department

**AR 351-23**  
Advanced Management Training for Senior Officers

**AR 350-100**  
Officer Active Duty Service Obligations

**AR 380-5**  
Department of the Army Information Security Program

**AR 385-10**  
Army Safety Program

**AR 600-8**  
Military Personnel Management

**AR 600-8-2**  
Suspension of Favorable Personnel Actions (Flags)

**AR 600-8-19**  
Enlisted Promotions and Reductions

**AR 600-8-22**  
Military Awards

**AR 600-8-24**  
Officer Transfers and Discharges

**AR 600-8-29**  
Officer Promotions

**AR 600-8-103**  
Battalion S1

**AR 600-8-104**  
Military Personnel Information Management/Records

**AR 600-37**  
Unfavorable Information

**AR 600-39**  
Dual Component Personnel Management Program

**AR 600-100**  
Army Leadership

**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**  
Training of Military Personnel at Civilian Institutions

**AR 621-7**  
Army Fellowships and Scholarships

**AR 621-108**  
Military Personnel Requirements for Civilian Education

**AR 680-29**  
Military Personnel, Organization, and Type of Transaction Codes

**AR 735-5**  
Policies and Procedures for Property Accountability

**DA Memorandum 600-1**  
Evaluation Reports Appeals

**DA Pam 350-59**  
Army Correspondence Course Program Catalog

**DA Pam 600-4**  
Army Medical Department Officer Development and Career Management

**DA Pam 600-8-2**  
Standard Installation/Division Personnel System (SIDPERS) Personnel Service Center Level Procedures

**DA PAM 600-11**  
Warrant Officer Professional Development

**DA Pam 611-21**  
Military Occupational/Classification Structure

**DA Pam 623-X**  
Evaluation Reporting System

**Personnel Planning Guidance**  
Army G-1 PPG. (Available at [www.armyg1.army.mil](http://www.armyg1.army.mil).)

**DOD 5000.52-M**  
Acquisition Career Development Program. (Available at [www.dtic.mil/whs/directives](http://www.dtic.mil/whs/directives).)

**DOD 5200.2-R**  
Department of Defense Personnel Security Program. (Available at [www.dtic.mil/whs/directives](http://www.dtic.mil/whs/directives).)

**Joint Publication 1-02**  
Department of Defense Dictionary of Military and Associated Terms. (Available at [www.dtic.mil/doctrine/jel/doddict/index.html](http://www.dtic.mil/doctrine/jel/doddict/index.html).)

**5 USC 301**  
Departmental regulations

**10 USC 175**  
Reserve Forces Policy Board.

**10 USC 3013**  
Secretary of the Army

**10 USC 3021**  
Army Reserve Forces Policy Committee

**10 USC 10211**  
Policies and Regulations: Participation of Reserve Officers in Preparation and Administration.

**10 USC 12301(d)**  
Reserve Components Generally

**10 USC 12402**  
Army and Air National Guard of the United States: Commissioned Officers; Duty in National Guard Bureau

**32 USC**  
National Guard

### **Section III** **Prescribed Forms**

**DA Form 67-9**  
Officer Evaluation Report. (Prescribed in para 1-8a(3)(a).)

**DA Form 67-9-1**  
Officer Evaluation Report Support Form. (Prescribed in para 1-8d(1).)

**DA Form 67-9-1a**  
Developmental Support Form. (Prescribed in para 1-8d(1).)

**DA Form 67-9-2**  
Senior Rater Profile Report. (Prescribed in para 5-21c.)

**DA Form 2166-8**  
NCO Evaluation Report. (Prescribed in para 1-8a(3)(a).)

**DA Form 2166-8-1**  
NCOER Counseling and Support Form. (Prescribed in para 1-8d(2).)

**DA Form 1059**

Service School Academic Evaluation Report. (Prescribed in para 1-8a(3)(b).)

**DA Form 1059-1**

Civilian Institution Academic Evaluation Report. (Prescribed in para 1-8a(3)(b).)

**Section IV****Referenced Forms****DA Form 2-1**

Personnel Qualification Record

**DA Form 705**

Army Physical Fitness Scorecard

**DA Form 1379**

US Army Reserve Components Unit Record of Reserve Training. (Available through normal form supply channels.)

**DA Form 1380**

Record of Individual Performance of Reserve Duty Training

**DA Form 4037**

Officer Record Brief

**DA Form 7222-1**

Senior System Civilian Evaluation Report Support Form

**DA Form 7223-1**

Base System Civilian Performance Counseling Checklist/Record

**NGB Form 25**

Army National Guard Officer Evaluation Report Non-Rated Period. (Available at [www.ngbpd.c.ngb.army.mil/ngbforms.asp](http://www.ngbpd.c.ngb.army.mil/ngbforms.asp).)

**SF Form 278**

Executive Branch Personnel Public Disclosure Report and Schedule A. (Available at [www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm](http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm).)

**Appendix B****Warrant Officer Evaluations****B-1. Overview**

*a.* Warrant officers are a distinct category of officer personnel with narrowly focused duties and responsibilities. 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 the Army, 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**

*a. Warrant officer status.* Warrant officers are comparable to commissioned officers in that both will be 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 differ from those of commissioned officers. The following differences will be considered when evaluating warrant officers.

(1) Warrant officers are appointed to serve in technical MOS. Thus, their professional development is aimed at increasing competence in their specialties.

(2) Warrant officers are technical operators, managers, administrators, or maintainers throughout their careers. Therefore, evaluations will focus on the potential for continued service in the technical positions for which they are trained and qualified. Warrant officers will not be evaluated on their potential to fill positions of responsibility outside their specialties, except for those DA/major Army command level branch/MOS immaterial positions within the Army where duties require a broad spectrum of knowledge of the organization and functions of the Warrant Officer Corps, but are not associated directly 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) *MOS.* Warrant officers are skilled technicians whose career patterns are focused on MOS qualifications. They will be assigned principal duties for their grade or next lower grade in their primary or additional MOS. Exceptions require HQDA approval and will be explained in DA Form 67-9, Part IIIe.

(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—

(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. Note that when evaluating a warrant officer's performance in special emphasis areas, it will not be assumed that they are able to do all types of technical work. Their training and experience will be considered. If a warrant officer performs duty in special emphasis areas outside their technical specialty, the evaluation will be based on willingness to assume responsibility, innovation, organizational ability, supervisory talents, thoroughness, and so forth.

(3) *Career progression.* When evaluating potential for selection actions (promotion, retention, professional development, significant assignments), rating officials need to understand the progression pattern in the individual's specific career field.

(a) Like commissioned officers, warrant officer 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 MOS, company level technical and tactical skill requirements may be greater than those required in the same MOS at battalion level.

(b) Progression within an MOS is aimed at preparing the individual 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 their 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, on-the-job training, and 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 a MOS-related discipline by the fifth year of warrant officer service and a baccalaureate degree prior to promotion to CW4.

(2) The relationship of evaluation to education 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 their MOS 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 in DA Form 67-9, Part Ve, on whether individuals are to attend a specific functional course in their career pattern.

### **B-3. DA Form 67-9**

The basic forms used to evaluate commissioned officers and warrant officers are the same. There are, however, some differences.

- a.* Part If. Enter the warrant officer's PMOS.
- b.* Part III. Enter the MOS of the warrant officer's principal duty in item b. If this entry is not the same as the PMOS in part 1f, or an additional MOS (AMOS) held by the warrant officer, refer to the HQDA career management approval in part IIIc.
- c.* Part IV. The rater will compare the rated officer's professionalism with the norms and values that apply to all officers regardless of grade or duty position.
- d.* Part V. Part V is used as with commissioned officers. To add relevance to the rating, the rater will know the technical qualifications the rated warrant officer should possess.
- e.* Parts VI and VII. 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 guidance by providing an overview of the requirements, performance, and attributes of religious support in the military and guidance for effective use of DA Forms 67-9, 67-9-1, and 67-9-1a. It is essential for persons in the evaluation process to have a clear understanding of both this appendix and AR 165-1.

### **C-1. Chaplain religious support roles**

It is essential that the needs of and the roles for military religious support in any given situation 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 67-9-1 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 first lieutenants and are promoted to captain within a few months of coming on active duty. Some chaplains may enter active duty as a captain based on their number of years of civilian pastoral experience or reserve rank. Rating officials will understand that chaplains, with a given date of rank, generally have less military experience than their line-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 the ERS; the evaluation will be based on the individual's performance and experience.

### **C-3. Chaplain rating chain**

There will be a supervisory chaplain in the rating chain when possible. For example a brigade chaplain, as the supervisory chaplain, will be the intermediate rater for a battalion 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 Program to provide unit, area, and denominational coverage. 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 Forms 67-9, 67-9-1, and 67-9-1a. The following are some examples of chaplain leadership potential:

*a. The ability to support the professionalism of other chaplains.* There is a diversity of ministry and pastoral styles and denominational requirements among Army chaplains. The chaplain's supervisor will understand and appreciate the diversity, 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.* The chaplain 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.* The chaplain will accept responsibility for success or failure and learn from the experiences.

*d. Integration.* The chaplain will seek to integrate specific military staff skills with his or her professional religious convictions, practices and the Chaplain Leadership Skills and Attributes, Army and Chaplaincy values. The chaplain 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 "system sense."* Chaplains will understand and appreciate the Army system in which religious support is performed and how the chaplain can influence the spiritual, ethical and moral good of the community. The "system sense" normally develops as Chaplains progress in grade 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 his or her 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 an effective religious support programs, which will—

*a.* Provide religious services and programs designed to meet the needs of diverse and distinctive faith groups in the organization and community (see AR 165-1).

*b.* Speak with a credible and prophetic voice 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 (see AR 165-1).

*d.* Cooperate in the total command religious program and ensure religious support for units that have no assigned chaplains (see AR 165-1)

*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 equal opportunity.

*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 persons (to include military personnel, authorized civilians ((AR 165-1)), 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 RCs 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 that will 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.

g. Integrate and utilize chaplain assistants in the accomplishment of the religious support mission.

### **C-7. DA Form 67-9**

The following guidance will assist the rating officials to complete certain portions on DA Form 67-9:

a. *Part IIIa.* Select the most appropriate, specific functional duty position title. The following representative duty position titles may be used, although the list is not exhaustive:

- (1) Chaplaincy resources manager.
- (2) Clinical pastoral education supervisor.
- (3) Command, unit (such as BN, BDE, division, unit of action, major Army command).
- (4) Community pastor.
- (5) Confinement facility chaplain.
- (6) Family Life Center chaplain.
- (7) Chaplain hospital clinician.
- (8) Chaplain pastoral coordinator.
- (9) Reserve component 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 Vb, VI, VIIId.* The list below represents some of those areas in which the chaplain may be rated to be the most competent 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) Reserve component chaplain coordinator.
- (13) Resource management.
- (14) Unit ministry team leader.

c. *Parts Vb, VI, VIIc.* 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-7a. 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 CPE 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 Corps Officers**

#### **D-1. Overview**

JAGC officers perform unique duties within the Army. They are officer lawyers and are subject to the same evaluation concepts as other officers. When being evaluated, they will be viewed under a "whole officer" concept and not as a "lawyer" only. JAGC officers are staff officers and perform duties as advisors and advocates or counsel. In providing professional legal advice or service, judge advocates will at times advance opinions that are contrary to the views of

others. As lawyers, they are bound by a strict code of professional responsibility that provides standards for the legal profession. Rating officials will be mindful of these responsibilities and evaluate JAGC officers accordingly.

#### **D-2. Evaluation of Judge Advocate General Corps officers**

a. Only TJAG, the Assistant JAG, 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 his or her staff may evaluate a JAGC officer assigned additional duties as a military judge or as military magistrate on the performance of his or her 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 as counsel any accused or respondent before court-martial or administrative board proceedings.

#### **D-3. Evaluating officer detailed to on-the-job training**

a. Officers attending law school under the TJAG Funded Legal Education Program will be evaluated for periods of on-the-job training, as described in para 3-56. 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 Funded Legal Education Program, the following entry will be placed in DA Form 67-9, Part III.e: "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 the Funded Legal Education Program, and still affiliated with a University Education Program pending successful completion of a State bar exam, DA Form 1059-1 will be used to cover this rating period.

#### **D-4. Initial tour of extended active duty**

A report will be rendered upon completion of 120 duty days as a JAGC officer, regardless of prior service in other than JAGC, in a principal duty assignment under a single rater as detailed in paragraph 3-54. This applies only if no report has been made during the current period of service. This applies to officers who complete law school under TJAG's Funded Legal Education Program (AR 27-1). Officers programmed for attendance at an officer basic course will not be rated under this paragraph before attending the course.

#### **D-5. JAGC officers assigned to the U.S. Army Trial Defense Service**

These officers are not considered to be under dual supervision paragraph 2-22.

### **Appendix E**

#### **Evaluation of U.S. Army Medical Department Officers**

##### **E-1. Evaluation of 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 (DE), Veterinary Corps (VC), Army Nurse Corps (AN), Medical Specialist 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). Therefore, it will be given primary emphasis in the evaluation process. Special instructions for rating MC, DE, VC, AN, SP, and MS residents, interns, and fellowship students are specified below. The evaluation forms will be completed as prescribed in chapter 3, unless indicated otherwise in this appendix.

###### **a. DA Form 67-9-1.**

(1) Part I will be completed by 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).

(2) Part II will be completed by the servicing administrative office. The duty AOC for this assignment will reflect the specialty for which the rated officer is being trained.

(3) Part III will describe the program goals (to include academic and practicum requirements) and achievements during the rating period.

###### **b. DA Form 67-9. This will be completed in accordance with DA Pam 623-3, chapter 2.**

(1) Part I, item f, Designated Specialty, will be the specialty for which the rated officer is being trained.

(2) Part II, Authentication, will be completed in accordance with DA Pam 623-3, paragraph 2-5.

(3) Part III, Duty Description, comprises 3 parts:

(a) *Item a, Principal Duty title.* The duty title will parallel the duty title shown on the DA Form 67-9-1.

(b) *Item b, Duty AOC.* Enter the specialty for which the rated officer is being trained.

(c) *Item c, Significant Duties and Responsibilities.* Refer to DA Form 67-9-1, Part IVa. This portion allows the rater to describe the rated officer's program, to include academic and practicum requirements during the rated period. Most

raters will use Part IIIa of DA Form 67-9-1 to help them complete this section. This information is particularly important to DA selection boards; therefore, raters will record it with thought and detail.

(4) Part IV, Performance Evaluation-Professionalism comprise 2 parts:

(a) *Item a, Army Values.* The rater completes this item. It lists values that define professionalism for the Army officer (DA Pam 623-3, para 2-7). Evaluation of each value will be in the context of the graduate health education experience, to include clinical and academic environments. A list of these values and their definitions is provided in DA Pam 623-3, table 2-4.

(b) *Item b. Leader attributes/skills/actions.* Complete by placing an "x" in either the "yes" or "no" box and selecting six, one from attributes, two from skills, and three from actions, which provide the best leader word picture of that rated officer. Comments may also be provided in Part Vb. Comments on "no" entries are mandatory.

(5) Part V, Performance and Potential Evaluation (rater) comprises three parts:

(a) *Item a.* Complete as prescribed.

(b) *Item b.* Comment on specific aspects of performance and potential. This portion is most significant because it provides DA with a detailed account of the participant's progress in their graduate health education. These comments will describe the rated officer's academic and practicum achievements. In the case of Medical and Dental Corps 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 DA with a clear description of the officer's graduate education progress.

(c) *Item c.* Complete as prescribed.

(6) Part VI, Intermediate Rater will be completed as directed in DA Pam 623-3.

(7) Part VII, Senior Rater, will be completed as directed in DA Pam 623-3.

c. *Rating officials for MC, DE, VC, AN, SP, and MS 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. As an exception to paragraph 2-5, 2-6, and 2-7—

(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 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 AMEDD officers.* These evaluations are completed as directed by proper authority.

d. *Submission of Reports-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, a report 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 report showing the new duty as first-year graduate medical education; otherwise, submit a change of rater report.

## **E-2. 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. If serving as the rater, the supervising physician may be equal in rank but not necessarily senior by date of rank to the PA. 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 or senior rater), as indicated in paragraph 2-22.

## **E-3. Junior Army Medical Department colonel commanders as senior raters or reviewers**

The following conditions will be met in order for a junior AMEDD colonel commander to senior rate or review officers and NCOs in their command.

a. *OERs.* As an exception to paragraph 2-7a(9) and table 2-1, commanders junior by DOR 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 (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).

b. *NCOERs.* Commanders junior by DOR to the rater may serve as senior raters. Commanders junior by DOR to the rater and senior rater may serve as the reviewer. These provisions apply only if the requirement of paragraph E-3a(1) is met and they are authorized to rate the rated NCO's rater and/or senior rater.

## **E-4. Rating officials for U.S. Army Medical Command, subordinate Army Medical commands, activities, and field operating agencies**

The following rules apply to US Army Medical Command (MEDCOM) and its field operating agencies, Regional

Medical Commands (RMCs), U.S. Army Medical Department Center and School, U.S. Army Medical Research and Materiel Command, U.S. Army Center for Health Promotion and Preventive Medicine, U.S. Army Dental Command (DENCOM), U.S. Army Aeromedical Center (USAAMC), U.S. Army Veterinary Command (VETCOM), U.S. Army Regional Veterinary Command, U.S. Army District Veterinary Command (DVC), and their respective subordinate activities.

*a.* Major subordinate commanders, MEDCOM, will be evaluated as follows:

(1) The commanders, North Atlantic RMC, U.S. Army Medical Department Center and School, U.S. Army Center for Health Promotion and Preventive Medicine, Medical Research and Materiel Command, DENCOM, and VETCOM will be rated and senior rated by the CG, MEDCOM.

(2) The commanders, Great Plains RMC, Southeast RMC, and Western RMC, will be rated by the installation commander and senior rated by the CG, MEDCOM.

(3) The Deputy Commander-in-Chief, U.S. Army Europe, will rate the European RMC Commander. The senior rater will be the CG, MEDCOM, regardless of date of rank.

(4) The Pacific RMC Commander will be rated by the Commander, U.S. Army Pacific, and senior rated by CG, MEDCOM regardless of date of rank.

(5) The Commander, Walter Reed Army Medical Center, will be rated by the North Atlantic RMC Commander and senior rated by the CG, MEDCOM.

*b.* When none of the above rules can be applied, the CG, MEDCOM, will be the rater and senior rater for the major subordinate commander concerned. The installation commander will submit written comments concerning the rated officer's duty performance to the CG, MEDCOM, in accordance with paragraph 2-21.

*c.* As an exception to paragraph 2-7a(9) and table 2-1, officers in the following positions when senior in date of rank to both the rated officer and the rater, may serve as senior rater for all AMEDD colonels assigned to HQ, MEDCOM, and colonels rated by MEDCOM subordinate commanders (this exception does not permit these officers to rate colonels in command positions, or to serve as both rater and senior rater for the same rated officer):

(1) The Assistant Chief of Staff for Health Policy and Services, MEDCOM, for all assigned or attached AMEDD Corps colonels, except Dental and Veterinary Corps.

(2) A Colonel serving as Chief of Staff, MEDCOM, for all assigned or attached AMEDD colonels.

(3) The Chief of Staff, AMEDD C&S, for all assigned or attached colonels.

*d.* The installation/community commanders and the RMC commanders will rate and senior rate the U.S. Army Medical Department Activity (MEDDAC) and USAAMC commanders. The senior officer will serve as the senior rater.

*e.* Following is the rating chain rules for the DENCOM, RDC, U.S. Army Dental Activity (DENTAC), ADL commanders, and executive officers:

(1) The DENCOM commander will be rated and senior rated by the CG, MEDCOM.

(2) The DENCOM commander will establish the rating schemes for the RDC, DENTAC, ADL commanders, and executive officers.

*f.* Rating chain rules for VETCOM, RVC, DVC commanders, and Veterinary Corps (VC) officers are as follows:

(1) The VETCOM commander will be rated and senior rated by the CG, MEDCOM.

(2) The VETCOM commander will rate the RVC commanders. The senior rater will be the RMC commander, grade or date of rank permitting.

(3) The RVC commander will rate DVC commanders. The senior rater will be the VETCOM commander.

(4) The DVC commander will rate branch VC officers. The senior rater will be the RVC commander.

(5) The branch VC officers will rate section VC officers. The senior rater will be the DVC commander, grade or date of rank permitting.

(6) HQ, VETCOM will establish rating schemes not fitting into the categories listed above.

*g.* Deputy Commanders for Administration (DCA) are rated by—

(1) The RMC commanders for DCAs assigned to RMCs. RMC commanders of general officer grade will also senior rate.

(2) The MEDDAC/field grade RMC commander for DCAs assigned to MEDDACs or RMCs without general officer commander. At the discretion of the commander, the senior rater will be the RMC commander or the installation commander, grade or date of rank permitting.

*h.* Deputy commanders for clinical services (DCCS) are rated by—

(1) The general officer RMC commander, who will also senior rate.

(2) The field grade RMC commanders with the MEDCOM commander or a designated member of the HQ MEDCOM staff senior rating.

(3) The MEDDAC commander and senior rated by the RMC commander or a member of the RMC staff, grade or date of rank permitting. HQ MEDCOM will designate the senior rater for those DCCSs who cannot be senior rated within the RMC.

*i.* Chief Nurse is rated by—

(1) The RMC DCCS (if senior by date of rank) or RMC commander for the RMC chief nurse. If rated by the

DCCS, the RMC commander will senior rate. Those rated by the commander will also be senior rated by the commander, if of General Officer grade. The MEDCOM commander or a member of the HQ MEDCOM staff will senior rate those rated by a field grade RMC commander.

(2) The DCCS (if senior by date of rank) or commander will rate MEDDAC chief nurses. If rated by the DCCS, the commander will senior rate. If rated by the commander, the RMC chief nurse will intermediate rate, grade or date of rank permitting, and the RMC commander (General Officer) will senior rate.

*j.* Certified registered nurse anesthetists are rated by supervisory personnel in the Departments of Nursing and Surgery. Seniority will determine the rater and senior rater responsibilities.

*k.* Commanders, chiefs, or officers-in-charge of health clinics or installations where there is no RMC or MEDDAC, who also serve the installation commander as director of health services, are rated by—

(1) The installation commander when senior to the rated officer, and junior in grade or date of rank to the RMC or MEDDAC commander, exercising command control over the health clinic. The senior rater is the RMC or MEDDAC commander.

(2) A member of the installation commander's staff senior to the rated officer, when the installation commander is senior to the RMC and/or MEDDAC commander exercising command control over the health clinic. The senior rater is the RMC or MEDDAC commander.

(3) The RMC or MEDDAC commander exercising command control over the health clinic when the installation commander is junior to the rated officer. The installation commander will provide a letter of input for the rater's use in preparing the OER. The general officer RMC commanders will also senior rate. In cases where the MEDDAC/field grade RMC commander is the rater, the CDR, MEDCOM will designate the senior rater.

*l.* Rating schemes for Chiefs of Departments of Dentistry in RMC and/or MEDDAC will be established as follows:

(1) For RMC, the deputy DENTAC commander will be the rater; the DCCS or Chief, Department of Surgery, the intermediate rater, date of rank permitting; and the DENTAC commander, the senior rater.

(2) For MEDDAC, the deputy DENTAC commander will be the rater; the MEDDAC DCCS or the Chief of Surgery, the intermediate rater, date of rank permitting; and the DENTAC commander, the senior rater.

*m.* The OER rating scheme for Dental Corps officers assigned to a DENTAC will include only Dental Corps officers, except as indicated otherwise in this appendix.

*n.* Except as indicated in this appendix, the rating chain for all MEDCOM personnel will be in MEDCOM channels.

*o.* Where compliance with paragraph E-3 cannot be accomplished because of grade or DOR structure, contact the Deputy Chief of Staff for Personnel, MEDCOM, for assistance in establishing the proper rating scheme.

*p.* Because of the unusually large number of AMEDD colonels assigned to the United States Forces Korea, the Commander, 18th Medical Command may serve as senior rater for all AMEDD colonels in that organization.

#### **E-5. Rating officials for Army Reserve and Army National Guard/Army National Guard of the United States Army Medical Department officers**

The following rules apply to AMEDD IMA, DIMA, TPU, IRR, and Standby Reserve AMEDD officers assigned or attached to Active Army AMEDD units for AT, ADT, ADSW, TTAD, or IDT:

*a.* An exception to the requirement that a rater be senior by date of rank to the rated officer is granted provided the rater is the immediate supervisor and the remaining conditions of paragraph 4-4c are met.

*b.* The senior rater will be senior to the rated officer and the rater, except as indicated below:

(1) Colonel commanders may serve as senior raters for colonel USAR and ARNG/ARNGUS AMEDD officers assigned or attached to their unit for duty.

(2) In instances where the Commander, VETCOM or DENCOM is serving as the rater, the senior rater will be the CG, MEDCOM.

*c.* Colonel commanders serving as senior raters for colonel USAR and ARNG/ARNGUS AMEDD officers will cite this paragraph as authority to senior rate on DA Form 67-9, Part VIIc. Under no circumstances will a colonel commander serve as both rater and senior rater.

## **Appendix F Human Resource Command Addresses**

### **F-1. Addresses for various applications**

Table F-1 provides HRC addresses for submitting various forms for certain circumstances.

### **F-2. Official Military Personnel File**

OMPFs are available at the following Web addresses:

*a.* For Active Duty personnel, <https://iperms.army.mil/rms/login.jsp>.

b. For ARNG personnel, <https://statepermsompf.hoffman.army.mil/rms/login.jsp>.

c. For USAR personnel, <https://www.2xcitizen.usar.army.mil/portal/default.asp>.

<b>Table F-1 HRC addresses</b>	
<b>Contact information</b>	<b>Soldier status and applicable form</b>
<p>Army Human Resources Command–Alexandria ATTN: AHRC–OPL–L 200 Stovall Street Alexandria, VA 22332–0411</p>	<p>Active Army, DA Form 1059–1</p>
<p>Army Human Resources Command–Alexandria ATTN: AHRC–MSE–R 200 Stovall Street Alexandria, VA 22332–0442 DSN: 221–4200/1703 Commercial : (703) 325–4200/1703</p>	<p>Active Army, DA Form 67–9 and DA Form 1059 Request for HQDA review of Active Duty, DA Form 67–9</p>
<p>Army Human Resources Command–Alexandria ATTN: AHRC–MSE–A 200 Stovall Street Alexandria, VA 22332–0442 DSN: 221–8642/43 Commercial: (703) 325–8642/43</p>	<p>Active Army, DA Form 67–9 and DA Forms 1059 and 1059–1 appeals and addendums</p>
<p>Army Human Resources Command–Alexandria ATTN: AHRC–MSE 200 Stovall Street Alexandria, VA 22332–0442 DSN: 221–9660 Commercial: (703) 325–9660 <a href="https://www.hrc.army.mil/site/active/TAGD/MSD/ESO/eso.htm">https://www.hrc.army.mil/site/active/TAGD/MSD/ESO/eso.htm</a></p>	<p>Active Army, Commander's/Commandant's Inquiry: DA Form 67–9 DA Form 2166–8 DA Form 1059 (Officer and Enlisted) DA Form 1059–1</p> <p>Active Army, request for senior rater profile, DA Form 67–9–2 (available at Web site)</p>
<p>Army Human Resources Command–Indianapolis ATTN: AHRC–EFS 8899 East 56th Street Indianapolis, IN 46249–5301 DSN: 699–3696 Commercial: (317) 510–3696 Website: <a href="https://www.hrc.army.mil/site/erec/index.htm">https://www.hrc.army.mil/site/erec/index.htm</a> (Policy information, clarification, and access to all evaluations-related applications is available at the Web address.)</p>	<p>Active Duty, DA Form 2166–8, and enlisted, DA Form 1059</p>
<p>Army Human Resources Command–Indianapolis ATTN: AHRC–RE–A 8899 East 56th Street Indianapolis, IN 46249–5301 DSN: 699–3688 Commercial: (317) 510–3688</p>	<p>Active Duty enlisted, DA Form 2166–8, and enlisted, DA Form 1059 appeals</p>
<p>Army Human Resources Command–St. Louis ATTN: AHRC–PAV–EO 1 Reserve Way St. Louis, MO 63132–5200 DSN: 892–0676/0576/0377 Commercial: (314) 592–0676/0576/0377</p>	<p>USAR, DA Forms 67–9, 2166–8, 1059, 1–59–1, and subsequent addendums</p>
<p>Army Human Resources Command–St. Louis ATTN: AHRC–PAV–EA 1 Reserve Way St. Louis, MO 63132–5200 DSN: 892–3226 Commercial: (314) 592–3226</p>	<p>USAR, appeal requests, reviews, and Commander's/Commandant's Inquiry: DA Form 67–9 DA Form 2166–8 DA Form 1059 (Officer and Enlisted) DA Form 1059–1</p>

**Table F-1  
HRC addresses—Continued**

<p>Army Human Resources Command—St. Louis ATTN: AHRC—PAV (SR Profile) 1 Reserve Way St. Louis, MO 63132-5200 DSN:892-0679 Commercial: (314) 592-0679 <a href="https://www.2xcitizen.usar.army.mil/portal">https://www.2xcitizen.usar.army.mil/portal</a></p>	<p>USAR, DA Form 67-9-2 (available at Web site)</p>
<p>National Guard Bureau, ARNG Readiness Center ATTN: NGB-ARP-C (OER Section) or (AER Section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>ARNG, DA Form 67-9, DA Form 1059, and subsequent addendums</p>
<p>National Guard Bureau, ARNG Readiness Center ATTN: NGB-ARP-C (Appeals Section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>ARNG, DA Form 67-9 and officer, DA Form 1059 appeals</p>
<p>Chief, National Guard Bureau, ARNG Readiness Center ATTN: NGB-ARP-PE 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>ARNG, DA Form 2166-8 and enlisted, DA Form 1059 appeals</p>
<p>National Guard Bureau, ARNG Readiness Center ATTN: NGB-ARP-C (OER Section) or (AER Section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>ARNG, DA Form 67-9 and DA Form 1059 HQDA reviews ARNG, DA Form 67-9 and DA Form 1059 Commander's/Commandant's Inquiry</p>
<p>National Guard Bureau, ARNG Readiness Center ATTN: NGB-ARP-C (OER Section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-111 <a href="https://gko.ngb.army.mil">https://gko.ngb.army.mil</a></p>	<p>Senior rater profile for ARNG, DA Form 67-9-2 (available at Web site)</p>
<p>US Navy: Information Technology Center ITC 14, Building 3, Third Floor ATTN: CDM 2251 Lakeshore Drive New Orleans, LA 70145</p> <p>US Air Force: HQ, AFPC/DPPPED 550 C Street West Suite 7 Randolph AF Base, TX 78150-4709</p> <p>US Marine Corps: Commandant, USMC HQ, US Marine Corps 2008 Elliot Road Quantico, VA 22134-5030</p>	<p>Non-U.S. Army service member, DA Form 1059</p>

## **Glossary**

### **Section I**

#### **Abbreviations**

##### **ABCMR**

Army Board for Correction of Military Records

##### **AC**

Active Component/Active Army

##### **ACOM**

Above center of mass

##### **ADSW**

Active duty for special work

##### **ADT**

Active duty for training

##### **AER**

Academic Evaluation Report (DA Form 1059 and 1059-1)

##### **AG**

Adjutant General

##### **AGR**

Active Guard Reserve

##### **AKO**

Army Knowledge Online

##### **AMEDD**

Army Medical Department

##### **AOC**

Area of concentration

##### **APFT**

Army Physical Fitness Test

##### **AR**

Army Regulation

##### **ARNG**

Army National Guard

##### **ARNGUS**

Army National Guard of the United States

##### **ASAP**

Army Substance Abuse Program

##### **AT**

Annual training

##### **BDE S-1**

Brigade S-1 (human resource provider)

##### **BG**

Brigadier general

**BN S-1**  
Battalion S-1 (human resource provider)

**CDR**  
Commander

**CE**  
Commander's Evaluation

**CG**  
Commanding general

**CNGB**  
Chief, National Guard Bureau

**CO-EAD**  
Contingency extended active duty

**COL**  
Colonel

**CONUS**  
Continental United States

**CO-TTAD**  
Contingency temporary tours of active duty

**CPL**  
Corporal

**CPT**  
Captain

**CSM**  
Command sergeant major

**CW2, CW3, CW4, CW5**  
Chief warrant officer two, three, four, five

**DA**  
Department of the Army

**DAC**  
Department of the Army Civilian

**DCA**  
Deputy commanders for administration

**DCCS**  
Deputy commander for clinical services

**DCS, G-1**  
Deputy Chief of Staff, G-1

**DENCOM**  
U.S. Army Dental Command

**DENTAC**  
U.S. Army Dental Activity

**DIMA**  
Drilling Individual Mobilization Augmentee

**DOD**  
Department of Defense

**DOR**  
Date of rank

**DSF**  
Developmental support form

**DSN**  
Defense Switched Network

**DVC**  
District veterinary command

**EAD**  
Extended Active Duty

**EO**  
Equal Opportunity

**ERS**  
Evaluation Reporting System

**ETS**  
Expiration Term of Service

**FLEP**  
Fully Funded Legal Education Program

**FOIA/PA**  
Freedom of Information Act/Privacy Act

**FTNGD**  
Full time National Guard duty

**GG**  
General Government

**GM**  
General manager

**GS**  
General schedule

**HQDA**  
Headquarters, Department of the Army

**HRC**  
Human Resources Command

**IDT**  
Inactive duty training

**IMA**  
Individual Mobilization Augmentee

**ING**

Inactive National Guard

**IRR**

Individual Ready Reserve

**IWRS**

Interactive Web-Response System

**LT**

Lieutenant (second or first)

**LTC**

Lieutenant Colonel

**MAJ**

Major

**MEDCOM**

U.S. Army Medical Command

**MEDDAC**

U.S. Army Medical Department Activity

**MG**

Major General

**MOS**

military occupational specialty

**MT**

Military technician

**NAAD**

National AMEDD Augmentation Detachment

**NCO**

Noncommissioned officer

**NCOER**

Noncommissioned Officer Evaluation Report (DA Form 2166-8)

**NCOES**

Noncommissioned Officer Education System

**NGB**

National Guard Bureau

**OER**

Officer Evaluation Report (DA Form 67-9)

**OERS**

Officer Evaluation Reporting System

**OJT**

On-the-job training

**OMPF**

Official Military Personnel File

**PCS**

Permanent Change of Station

**PMOS**

Primary Military Occupational Specialty code

**RC**

Reserve Component

**RRC**

Regional Readiness Command

**RTU**

Reinforcement Training Unit

**SD**

Special Duty

**SES**

Senior Executive Service

**SGM**

Sergeant major

**SGT**

Sergeant

**SRB**

Special Review Board

**TCS**

Temporary change of station

**TDA**

Tables of distribution and allowances

**TDY**

Temporary duty

**TJAG**

The Judge Advocate General

**TJAGC**

The Judge Advocate General Corps

**TOE**

Table of organization and equipment

**TPU**

Troop program unit

**TTAD**

Temporary tour of active duty

**UCMJ**

Uniform Code of Military Justice

**USAAMC**

U.S. Army Aeromedical Center

**USACAPOC**

United States Army Civil Affairs and Psychological Operations Command

**USAR**

United States Army Reserve

**USARC**

U.S. Army Reserve Command

**USC**

United States Code

**USMA**

United States Military Academy

**VC**

Veterinary Corps

**VETCOM**

U.S. Army Veterinary Command

**WO, WO1**

Warrant officer, warrant officer 1

**Section II****Terms****Appeal**

The procedure taken by the rated NCO 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 OMPF.

**Appointed duties**

Additional responsibilities not normally associated with the duty description.

**Bullet comments**

Short, concise, to-the-point comments starting with action words (verbs) or possessive pronoun (his/her). Bullet comments will not be longer than two lines, preferably one, and no more than one bullet to a line.

**Competence**

The knowledge, skills, and abilities necessary to be an expert in the current duty assignment and to perform adequately in other assignments within the MOS when required. Competence is both technical and tactical and includes reading, writing, speaking, and basic mathematics. It also includes sound judgment, ability to weigh alternatives, form objective options, and make good decisions. Closely allied with competence is the constant desire to better, to listen and learn more, and to do each task completely to the best of one's ability. Learn, grow, set standards, and achieve them, create and innovate, take prudent risks, never settle for less than the best. Committed to excellence.

**Commander's Inquiry**

Investigation into a Soldier's evaluation report made by an official in the chain of command 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 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 reviewer.

**Complete-the-Record**

An optional evaluation intended to update an individual's file with performance and potential information since the most recent evaluation that has not previously been provided.

**Dual supervision**

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 noncommissioned officer rating schemes or NCOERs or any AER (DA Form 1059 series).

#### **“From Date”**

The beginning date of the evaluation period; the day or month following the ending date or month of the most recent evaluation period (see DA Pam 623-3 for procedures unique to each type of report).

#### **HQDA electronically generated label**

For OERs, a label generated and placed over the senior rater's potential box check in Part VII, Block b. For MAJ through BG, and CW3 through CW4, this label is a comparison of the senior-level box check and senior rater profile. This provision does not apply to NCOERs or AERs.

#### **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 subordinates and their families and welcoming the opportunity to serve them; conducting counseling; setting the example by word and act/deed; can be summarized by skills, attributes and traits as exhibited on the front side of the OER and NCOER; 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**

For OERs, when the senior rater's profile meets or exceeds 50 percent ACOM of the total number of reports in a particular grade. This does not apply to NCOERs or AERs.

#### **Performance counseling**

Informs soldiers about their jobs and the expected performance standards and provides feedback on actual performance. Soldiers' performance includes appearance, conduct, mission accomplishment, and the way duties are carried out. Provides honest feedback to let soldiers know how they are performing.

#### **Performance evaluation**

Assessments of how well the rated individual met their duty requirements and adhered to Army professional leadership standards. Performance is evaluated by observing a rated individual's action, demonstrated behavior, and results from the point of view of the values and responsibilities. Due regard is given to experience of the rated individual, efforts made, and results achieved.

#### **Period of report**

The period of time the report covers includes rated and non-rated time. The period begins on the day following the completion of the most recent evaluation and ends on the day of the event causing the current report to be rendered.

#### **Physical fitness and military bearing**

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. Military bearing consists of posture, dress, overall appearance, and manner of physical movement. Bearing also includes an outward display of inner feelings, fears, and overall confidence and enthusiasm. An inherent Army individual responsibility is concern with the military bearing of the individual soldier, to include on-the-spot corrections.

#### **Potential evaluation**

An assessment of the rated individual's ability, compared with that of other individuals of the same grade, to perform in positions of greater responsibility and/or higher grade.

#### **Rated Individual**

A rated officer or noncommissioned officer.

#### **Rater**

First line supervisor of the rated individual and 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 individual 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 the rest, periodically as needed.

#### **Rating chain**

The rated individuals rating officials (rater, senior rater, and reviewer) as published on the rating scheme. For officer evaluations only, an intermediate rater may be placed on a published rating scheme.

#### **Rating officials**

Individuals (rater, intermediate rater, senior rater, and reviewer) as published on the rating scheme who render an evaluation on the rated individual

#### **Rating scheme**

The publication, in writing, of a rated individual's rating scheme.

#### **Redress**

Procedures by which rated individuals can address errors, bias, or injustice during and after the preparation of an evaluation and have them corrected.

#### **Referral**

The forwarding of a completed evaluation report to the rated officer for review and acknowledgement. Referral is accomplished, in writing, by the senior rater. This procedure ensures the rated officer is advised they are permitted to comment on adverse information contained in the OER before it becomes a matter of permanent record. This provision does not apply to rated noncommissioned officer NCOERs or NCO AERs.

#### **Relief**

The removal of a rated individual from an assignment based on a decision by a member of the person's chain of command or supervisory chain that their personal or professional characteristics, conduct, behavior, or performance of duty warrant removal 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 can not prepare or submit an evaluation on their subordinates during the suspension leading up to the relief or after the relief is final.

#### **Responsibility and accountability**

The proper care, maintenance, use, handling, and conservation of personnel, equipment, supplies, property, and funds. Maintenance of weapons, vehicles, equipment, conservation of supplies and funds is a special leadership responsibility because of its links to the success of all missions, especially those on the battlefield. It includes inspecting soldier's equipment often, using a manual or checklist; holding soldiers responsible for repairs and losses; learning how to use and maintain all the equipment soldiers use; being among the first to operate new equipment; keeping up-to-date component lists; setting aside time for inventories; and knowing the readiness status of weapons, vehicles, and other equipment. It includes knowing where each Soldier is during duty hours, why the Soldier is going on sick call, where do they live, and their family situation. It involves reducing accidental manpower and monetary losses by providing a safe and healthful environment; it includes creating a climate that encourages young Soldiers to learn and grow; and to report serious problems without fear of repercussions. Also rated individuals will accept responsibility for their own actions and for those of their subordinates.

#### **Reviewer**

A third-line rating official: an officer, CSM, or SGM in the direct line of supervision and senior in pay grade, grade of rank, or date of rank to the senior rater. Promotable master MSGs may serve as reviewers provided they are serving in an authorized SGM/CSM position. Primary role is that of rating safeguard/over-watch. For OERs, the senior rater typically conducts the final review, unless the senior rater is not an Army officer qualified to perform the senior rating of a rated individual.

#### **Senior rater**

Second-line rating official: will be in the direct line of supervision of the rated individual and senior to the rater by either pay grade or date of rank. Primary role is evaluating, focusing on potential; responsible for over-watching the performance evaluation and mentoring. Obtains the rated individual's signature or enters appropriate statement if rated individual refuses or is not available.

#### **Senior rater profile**

For OERs only, a rating history, compiled at HQDA, displays the senior rater's rating history by grade and component.

A senior rater's profile will follow the senior rater upon retirement should they be in a position to provide a senior rating to an Army officer.

#### **Senior rater restart**

For OERs only, the deletion of an established rating history for all grades or a specific grade or grade grouping. When accomplished, a new rating history (profile) is structured based on evaluation reports rendered following the restart.

#### **Suspension**

The temporary removal of the rated individual from their duty position pending a final decision on an adjudicated issue. The period of suspension will be shown as non-rated time on the evaluation report. An officer can not prepare or submit an evaluation on their subordinates during the time they are suspended.

#### **THRU date**

The ending date of the evaluation period; the day or month reported for each type of report following the ending date or month of the most recent evaluation period (see DA Pam 623-3 for procedures unique to each type of report).

#### **Training**

Preparing individuals, units, and combined arms teams for duty performance; and the teaching of skills and knowledge. Army Leaders contribute to team training, are often responsible for unit training (squads, crews, sections), but individual 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; 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.

#### **Values**

Values tell us what we need to be, every day, in every action we take. Army values form the very identity of America's Army, the solid rock upon which everything else stands. Values are the glue that binds us together as members of a noble profession. They make the whole much greater than the sum of the parts. They are nonnegotiable; they apply to everyone, all the time, and in every situation.

### **Section III**

#### **Special Abbreviations and Terms**

This section contains no entries.

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