

Army Regulation 623–3

Personnel Evaluation

Evaluation Reporting System

**Headquarters
Department of the Army
Washington, DC
5 June 2012**

UNCLASSIFIED

SUMMARY of CHANGE

AR 623-3

Evaluation Reporting System

This major revision, dated 5 June 2012--

- o Authorizes the use of "P" for "promotable" for rating officials on noncommissioned officer evaluation reports, when applicable (para 2-11b).
- o Mandates an "Annual" Army evaluation report for schools that are longer than 12 months in duration (para 3-14b).
- o Provides new guidance on Army physical fitness test and height and weight entries on Army evaluation reports for military and institutional training courses (para 3-14c).
- o Explains nonrated time considerations with regard to evaluation report processing and accounting for nonrated time in a Soldier's evaluation report history, guidance regarding acceptable and unacceptable gaps in a Soldier's rating history, and the issuance of nonrated time statements, when necessary (paras 3-33c through 3-33f).
- o Requires full nine-digit social security numbers for the rated Soldier and the senior rater, as a minimum, for alternate submission of evaluations (para 3-33h).
- o Changes the purpose and definition of code 10 ("Extended Annual" evaluation reports) and clarifies the appropriate use for this type of report (para 3-42 and fig 3-1).
- o Authorizes code 04 ("Change of Duty" evaluation reports) for noncommissioned officers and eliminates "permanent change of station" as a reason for submission on officer evaluation reports (para 3-43).
- o Clarifies evaluation reporting policy for new Judge Advocate General's Corps officers (app D).
- o Updates evaluation reporting policy for newly commissioned Army Medical Department officers (app E).
- o Updates submission methods for all evaluation reports and makes electronic submission using the "My Forms" Portal (of the Forms Content Management Program) in Army Knowledge Online the Armywide standard (throughout).
- o Incorporates Army Directive 2011-16 changes (throughout).
- o Makes administrative changes (throughout).


Personnel Evaluation

Evaluation Reporting System

By Order of the Secretary of the Army:

RAYMOND T. ODIERNO
General, United States Army
Chief of Staff

Official:


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

History. This publication is a major revision.

Summary. This regulation prescribes the policy and tasks for the Army's Evaluation Reporting System, including officer, noncommissioned officer, and academic evaluation reports focused on the assessment of performance and potential. It includes policy statements, operating tasks, and rules in support of operating tasks. It has been revised to update policy on the use of extended evaluation reports, expand the authorization of specific non-Department of Defense senior raters and Army senior raters in unique circumstances, and clarify policy on accounting for academic evaluation report periods as nonrated time on officer and noncommissioned officer evaluation reports.

Applicability. This regulation applies to the active Army, the Army National Guard/Army National Guard of the United

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

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

AR 25–30, The Army Publishing Program, for specific guidance.

Army internal control process. This regulation contains internal controls and identifies key internal controls that must be evaluated (appendix I).

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Deputy Chief of Staff, G–1 (DAPE–ZA), 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 U.S. Army Human Resources Command (AHRC–PDV–E), 1600 Spearhead Division Avenue, Dept. #470, Fort Knox, KY 40122–5407.

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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Glossary

Chapter 1 Introduction

Section I Overview

1–1. Purpose

This regulation prescribes the policy for completing evaluation reports and associated support forms that are the basis for the Army's Evaluation Reporting System (ERS). This includes Department of the Army (DA) Form 67–9 (Officer Evaluation Report; DA Form 67–9–1 (Officer Evaluation Report Support Form); DA Form 67–9–1a (Developmental Support Form); DA Form 2166–8 (NCO Evaluation Report); DA Form 2166–8–1 (NCOER Counseling and Support Form); DA Form 1059 (Service School Academic Evaluation Report); and DA Form 1059–1 (Civilian Institution Academic Evaluation Report). It is linked to Army Regulation (AR) 600–8 and provides principles of support, standards of service, and policy governing all work required, including Army evaluations policy and guidance regarding redress programs, which include Commander's (CDR's) or Commandant's Inquiries and appeals. Procedures, tasks, and steps pertaining to the completion of each evaluation report and the support forms are contained in DA Pamphlet (Pam) 623–3. Requests for clarification or exceptions to policy will be sent to the U.S. Army Human Resources Command (AHRC–PDV–E) (address and contact information in app F). Current information on updated applications, policy guidance, and training are available online at <https://www.hrc.army.mil/>.

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 (USAHRC) will—
 - (1) Act as lead agency 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 Headquarters, Department of the Army (HQDA). 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 a Soldier or a disservice to the Army.
 - (c) Directing rating officials to submit addenda to reports needing clarification.
 - (d) Collecting information to be attached as addenda to reports when such action is necessary.
 - (e) Directing CDRs 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, USAHRC deems appropriate.
 - (3) Directing the rendering of reports when circumstances warrant and other provisions of this regulation do not apply.
 - (4) Clarifying policy, granting exceptions to policy, or formulating new policy, as the need arises.
 - (5) Disposing of CDR's or Commandant's Inquiries conducted in accordance with chapter 4, and chapters governing the subject evaluation, as deemed appropriate.
 - (6) Processing evaluation report appeals and updating Soldiers' official military personnel files (OMPFs) accordingly.
- b. CDRs at all levels will ensure that—
 - (1) A copy of this regulation, or the appropriate Web link to this regulation, is available to the rated Soldier and rating officials.
 - (2) Rating officials are fully qualified to meet their responsibilities.
 - (3) Reports are prepared by the rating officials designated in the published rating scheme.
 - (4) Rating chains correspond as nearly as practical to the chain of command or chain of supervision in a timely manner.
 - (5) Rating schemes show the rated Soldier's name, indicate the effective date for each named rating official, and are published within the unit and made accessible, either manually or electronically, to each rated Soldier and each member of the rating chain. Any changes to rating schemes will also be published and distributed. No changes may be retroactive.

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

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

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

(8) Each rating official knows how the subordinates whom he or she evaluates performed during the rating period.

(9) Rating officials provide forthright and honest assessments of rated Soldiers.

(10) Each senior rater (and reviewer or supplementary reviewer, if any) understands that he or she will examine the entries on the evaluation reports to ensure that objectivity and fairness have been maintained. When doing so, he or she will keep in mind the interests of both the Army and the rated Soldier. The senior rater will also understand that if he or she notes any errors or omissions on evaluation reports, corrections must be made prior to completion and submission to HQDA (or the State enlisted personnel manager (EPM) for ARNG NCOERs).

(11) Each rated Soldier is provided a copy of his or her rater's and senior rater's support forms (or equivalent) at the beginning of the rating period and his or her completed evaluation report at the end of the rating period.

(12) If applicable, referred reports (officer evaluation reports (OERs) and academic evaluation reports (AERs) only) are provided to the rated Soldier for acknowledgment or comment before being sent to HQDA. This also applies to OER or AER addenda containing unfavorable information and submitted under the provisions of paragraph 3-38. In such instances, CDRs will ensure that the rated officer understands that his or her comments do not constitute an appeal or a request for CDR's or Commandant's Inquiry.

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

(14) Local submission procedures support senior raters' responsibility to ensure that completed OERs and noncommissioned officer evaluation reports (NCOERs) arrive at HQDA no later than 90 days after the "THRU" date of the report or as stipulated in a military personnel (MILPER) message announcing an HQDA-level selection board. The importance of the evaluation report to many personnel actions, especially those involving HQDA selection boards, requires that this suspense be met.

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

(16) Clarification of policy, exceptions to policy, or new policy are requested of the CG, USAHRC, 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 a Soldier or a disservice to the Army if new policy is not made or an exception is not granted.

1-5. Manpower resources

The evaluation function is the responsibility of the rating officials, rated Soldiers, battalion (BN) or brigade (BDE) adjutant (S1), or unit personnel administration office, and HQDA. Manpower officials will use the workload factors (obtained in Manpower Staffing Standards Systems) to determine the manpower authorizations. Technical advancements aimed to reduce workload in administration allow rating officials to focus on document content.

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 personnel administration manager.

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

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

Section II

Principles and Standards

1-7. Principles of support

The ERS will—

a. Evaluate the performance and potential of officers, warrant officer one (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 of Soldiers during Department of Defense (DOD), civilian educational, medical, or industrial institution programs.

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

1-8. Standards of service

a. Evaluation Reporting System overview.

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

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

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

(a) Rating officials assess a Soldier's performance and potential against standards—the Army Values, the Army's leadership doctrine framework, the organization's mission, and a particular set of duties, responsibilities, tasks, and objectives using a series of box checks, narratives, bullet comments, and evaluation report rating techniques. The intent of the ERS should be to drive rated Soldiers to meet or exceed the standards. While standards or techniques may change, the ERS will continue to be the most accurate and effective assessment tool and development system possible. It will accomplish its mission of developing people and leaders.

(b) 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.

(4) 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 report forms are DA Form 67-9 and DA Form 2166-8. The evaluations on these two forms focus on a Soldier's duty performance, or how well a Soldier performs his or her assigned tasks and meets the Army Values as judged by the rating officials. Performance of duty is an extremely important factor in determining a leader's potential compared to his or her peers, which each senior rater assesses.

(b) *School evaluations.* The two AER forms are DA Form 1059 (for military institutions) or DA Form 1059-1 (for civilian institutions). The evaluations on these two forms focus exclusively on the Soldier's performance and accomplishments while attending a school or course.

Note. The time period covered by AERs is counted as nonrated time on OERs and NCOERs covering the same period.

(c) *Headquarters, Department of the Army evaluations.* Selection boards and personnel management systems will be used to evaluate a Soldier's entire career and his or her personnel file. The OER, NCOER, and AER are single time-and-place evaluations, all of which are considered when making HQDA evaluations. HQDA evaluations will focus on a Soldier's potential; they include judgments about a Soldier's ability to perform at the current and higher grade or rank, whether or not a Soldier will be given greater responsibility at the present rank, or retained for further military service. In making HQDA evaluations, selection boards will consider three factors: the Soldier's leadership potential compared with those of his or her peers; the Army's ever-changing requirements for Soldiers with certain backgrounds, experiences, and expertise; and the Soldier's qualifications as a leader based on demonstrated skills, specialized training, military and civilian schooling, and/or other unique skills required by the Army. The size of the Army and its leader corps is limited by law in terms of strength by grade, and the Army limits the number of selections and assignments that can be made.

b. Evaluation Reporting System principles.

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

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

c. Evaluation Reporting System functions.

(1) The primary function of the ERS is to provide information to HQDA for use in making personnel management decisions. 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 must be a thoughtful and fair appraisal of a Soldier's ability, based on observed performance and his or her potential. Each report must be accurate and complete to ensure that sound personnel

management decisions can be made and that a rated Soldier's potential can be fully developed. Reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions increasingly difficult.

(b) Indoctrination of the Army Values and basic Soldier responsibilities to strengthen the Army's ability to meet future professional challenges. The continued use of the Army Values and Soldier responsibilities as evaluation criteria will provide and reinforce a professional focus for rating officials' evaluation of performance.

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

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

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

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

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

d. Evaluation Reporting System process.

(1) Officers and their rating officials will use DA Form 67-9, DA Form 67-9-1 and DA Form 67-9-1a (or equivalent), and the electronically generated DA Form 67-9-2, as applicable.

Note. The term "officer" refers to both commissioned officers and warrant officers, unless otherwise specified. However, rating chains will recognize the basic differences between commissioned and warrant officers when evaluating performance and potential. Appendix B describes these differences and gives the policies and instruction unique to warrant officer evaluations.

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

Note. For corporals (CPLs) only the DA Form 2166-8-1 will be used; no evaluation report will be prepared.

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

(a) The evaluation process actually starts before the rating period, when the rated Soldier's rating chain is established and approved by the CDR or organization leader. The AER rating chains will be established by the commandant or dean of the appropriate school or unit administration office with oversight to ensure adequate evaluation of a rated Soldier and/or student.

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

e. Counseling. Counseling will be conducted within 30 days after the beginning of the rating period and quarterly thereafter for NCOs, WO1s, chief warrant officers two (CW2s), lieutenants (LTs) (first lieutenants (1LTs) and second lieutenants (2LTs)), and captains (CPTs). Counseling for all other ranks will be on an as-needed basis. It aids in developing a duty description for the Soldier and identifying major performance objectives to accomplish during the rating period. Counseling will also be used to guide the rated leader's performance during the early part of the rating period. Use of the NCOER counseling and support form for NCOs is mandatory.

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

Section III

Special Circumstances

1-9. Performance and potential evaluations

a. Army evaluation reports are independent assessments of how well the rated Soldier met duty requirements and adhered to the professional standards of the Army's Officer Corps or NCO Corps within the period covered by the

report. Performance will be evaluated by observing actions, demonstrated behavior, and results from the point of view of the Army Values, the Army's leadership framework, and responsibilities identified on evaluation report forms and counseling forms. These will be documented as explained in DA Pam 623-3. The following circumstances will be considered:

- (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 rated officers' or NCOs' ability to perform in positions of greater responsibility and/or higher grades/ranks compared to others of the same rank. These assessments will apply to all officers and NCOs, regardless of their opportunity to be selected for higher positions or grades, and will ignore such factors as impending retirement or release from active duty; potential evaluations continually change and are ultimately reserved for HQDA.

1-10. Changes to an evaluation report

a. Except to comply with this regulation and the corresponding pamphlet (DA Pam 623-3), no person may require changes be made to an OER, NCOER, or AER. Members of the rating chain, the servicing administrative office, or HQDA will point out obvious inconsistencies or administrative errors to the appropriate rating officials.

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

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

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

When it is brought to the attention of a CDR or commandant that a report rendered by a subordinate or a subordinate command may be illegal, unjust, or otherwise in violation of this regulation, that CDR or commandant will conduct an inquiry into the matter. The CDR's or Commandant'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 policy and procedures established by HQDA, and the conduct of the rated Soldier and members of the rating chain. The official does not have the authority to direct that an evaluation report be changed; command influence may not be used to alter the honest evaluation of a rated Soldier by a rating official. The procedures used by the CDR or commandant to process such an inquiry are described in chapter 4.

1-12. Access to reports

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

b. Selection board members and career managers will not have access to officers' masked LT OERs in the OMPF, once they are promoted to CPT, or warrant officers' masked WO1 OERs, once they are selected for promotion to chief warrant officer three (CW3).

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

d. Individual copies of completed evaluation reports are available to rated Soldiers in their OMPFs. However, as classified reports are not maintained in an open online system, individual personal copies of completed classified reports are prohibited. Official copies of completed classified evaluation reports are maintained with the Soldier's official file for use in making career management decisions and for review by selection boards. Local units should maintain copies of submitted classified reports in accordance with AR 380-5 and as discussed in paragraph 3-22.

e. Safeguarding of evaluation reports is essential as the information they contain is personal in nature.

1-13. Mobilization

Definitions of the categories of mobilization are found in Joint Publication 1-02, DOD Dictionary of Military and Associated Terms. Policy changes and implementing instructions because of different stages of mobilization or deployments will be released by HQDA as part of the Personnel Policy Guidance.

1-14. Privacy Act statement

a. Authority. The authority for the Privacy Act for evaluation reports can be found in Title 5, United States Code, Sections 301 (5 USC 301) and 10 USC 3013.

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

c. Routine use. Evaluations will be maintained in the rated Soldier's OMPF. A copy will be given directly to the rated Soldier or sent to a forwarding address.

d. Disclosure. Disclosure of a full nine-digit social security number (SSN) for the rated Soldier and senior rater is voluntary. However, failure to provide verified SSNs will 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 chains based on qualifications and special evaluation report requirements.

2-2. Fundamentals

CDRs, commandants, and organization leaders will establish rating chains and publish rating schemes within their units or organizations in accordance with locally developed procedures and ARs. Established rating chains will correspond as nearly as practicable to the chain of command or supervision within a unit or organization, regardless of component or geographical location. Rating schemes will identify the name of the rated Soldier and the effective date for each of the rating officials (date on which the rating official assumed his or her role as the rating official for the rated Soldier). Rating schemes will be published and made accessible, either manually or electronically, to each rated Soldier and each member of the rating chain. Any changes to a rating scheme will be published and distributed, as required. No changes may be retroactive.

2-3. Rating chain information

a. A rating chain is established by the CDR, commandant, or leader of an organization and maintained by rating officials to provide the best evaluation of an individual Soldier's performance and potential. A rating chain also ties the rated Soldier's performance to a specific senior or subordinate relationship. This allows for proper counseling to develop the rated Soldier and accomplish the mission. These functions are normally best achieved within an organization's chain of command or supervision.

b. In the absence of a comprehensive published unit rating scheme, the support and/or counseling form can serve as a means to notify individual Soldiers of their rating officials.

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

d. Special rules for designating rating officials are outlined to cover the death, missing status, relief, incapacitation, or suspension of a rating official (see para 2-20).

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

f. Specific rules by report include—

(1) *Officer evaluation report rating chains.*

(a) These normally will consist of the rated officer, the rater, and the senior rater. The senior rater will accomplish the final rating chain review. The rating officials must meet specific qualifications (paras 2-5 through 2-7 and table 2-1).

(b) In other situations, a rated officer's rating chain may involve another level of supervision or dual supervision in which he or she is supervised and assigned different duties by two qualified but separate chains of command or chains of supervision throughout the entire rating period. In these situations, an intermediate rater is designated as a supervisor between the rater and senior rater or a technical expert in the chain of command (para 2-6).

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

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

(d) In cases when the senior rater is not a U.S. Army officer or a DA civilian, a supplementary reviewer is required and will be included in the rating chain (para 2-8a(2)).

(2) *Noncommissioned officer evaluation report rating chains.*

(a) These will consist of the rated NCO, the rater, the senior rater, and the reviewer. The rating officials must meet specific qualifications (paras 2–5, 2–7, and 2–8).

(b) The reviewer will be a U.S. Army officer, CSM, or sergeant major (SGM) (or promotable (P) master sergeant (MSG) working in an authorized CSM or SGM position) in the direct line of supervision and senior in pay grade or date of rank to the senior rater, except as indicated in paragraph 2–8.

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

(3) *Academic evaluation report rating chains.* These rating chains will consist of the authorized rater and a reviewing official as designated by the commandant or appropriate civilian academic authority (para 2–9).

Section II

Rating Chain Development and Maintenance

2–4. General rules for establishing rating chains

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

b. CDRs, commandants, and organization leaders are responsible for ensuring valid rating schemes are established.

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

d. When necessary, rating chain exceptions to policy must be requested at the earliest possible date and cannot be implemented until approved by HQDA (for exceptions see para 2–7a(6)).

e. Specific requirements for rating officials are addressed in the subsequent paragraphs and in specified appendices of this regulation.

2–5. Rules for designating a rater

a. *Rater requirements.* The rater will normally be the immediate supervisor of the rated Soldier responsible for directing and assessing the rated Soldier's performance. The rater will normally be senior to the rated Soldier in grade or date of rank. CDRs will normally rate CDRs. Civilian raters for OERs and NCOERs will be designated as official supervisors on the established rating scheme.

Note. See paragraph G–3 for USAR-specific exceptions to policy regarding rating schemes and rating officials.

The following are rater's requirements, by evaluation report type:

(1) *Officer evaluation reports.* A rater will be an officer of the U.S. Armed Forces, U.S. Coast Guard, allied armed forces, or an employee of a U.S. Government agency (including nonappropriated fund rating officials). A civilian rater has no minimum grade requirement. The rater will be the supervisor for a minimum period of 90 calendar days.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days versus 90 calendar days (see apps G and H).

(2) *Noncommissioned officer evaluation reports.* A rater will be an officer or NCO of the U.S. Armed Forces, U.S. Coast Guard, or an employee of a DOD or U.S. Government agency (including nonappropriated fund rating officials). Only in rare instances will members of allied armed forces be authorized to serve as raters. The rater will be the supervisor for a minimum period of 90 calendar days. A civilian rater will be the designated supervisor of a rated NCO.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days versus 90 calendar days (see apps G and H).

(3) *Academic evaluation reports.* 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. *Officer evaluation report rater eligibility.*

(1) A military rater will be senior to the rated officer, by grade or date of rank. Exceptions to this rule are—

(a) An officer in a command position may rate an officer over whom he or she has command authority. In cases when the CDR rates an officer of the same grade but senior in date of rank, the rater will attach a copy of the memorandum announcing the assumption of command as an enclosure to the rated officer's OER. (Format and guidance for assumption of command announcements are in AR 600–20.)

(b) A three- or four-star general officer who has been appointed to command by direction of the President of the United States in an appointment of CDR announcement has command authority and may rate an officer who is of the same grade but senior in date of rank. (Format and guidance for appointment to command orders are in AR 600–20.) In

such cases, the rater will attach a copy of his or her appointment of CDR announcement as an enclosure to the rated officer's OER.

(2) A colonel (COL) serving as a COL-level Chief of Staff may rate a COL who is senior in date of rank.

Note. This does not apply to lieutenant colonel (LTC) Ps serving in a Chief of Staff position or COLs serving as acting Chiefs of Staff.

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

(a) The rater is other than a U.S. Army officer.

(b) Each instance is approved, in writing, by the next senior U.S. 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 officer's designated supervisor.

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

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

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

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

(2) CDRs may appoint DOD civilian employees as raters when an immediate military supervisor is not available or 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 CDR, commandant, or organization leader.

Note. ARNG military technicians (MT) (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 and table of distribution and allowances duty assignment units will be rated by the CDR, with the following exceptions, provided rater qualifications are met:

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

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

Note. For ARNG, the Assistant Adjutant General (AG), Army, or the State CSM may rate ARNG NCO academy commandants (para H-8). Additionally, the State AG will rate the State CSM.

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

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

(1) A military 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.

e. Specialty branch evaluation reports. For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E.

Note. Appendix E does not apply to ARNG Soldiers.

2–6. Rules for designating an intermediate rater (DA Form 67–9 only)

This paragraph does not apply to DA Form 2166–8, DA Form 1059, or DA Form 1059–1. An intermediate rater will be included when there is a level of supervision between the rater and senior rater.

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

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

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

(3) Be the rater's immediate supervisor and may be any supervisor between the rater and senior rater in the rated officer's chain of command. This rule is waived when the provisions of paragraph 2–22 or appendix C, D, or E apply. In cases of dual supervision, the designated intermediate rater, if from a nonparent unit, may be senior to the senior rater (para 2–22).

(4) Have served in that capacity for a minimum of 60 calendar days in order to evaluate the rated officer.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating period will be 90 calendar days versus 60 calendar days (see apps G and H).

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.

b. For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E.

Note. Appendix E does not apply to ARNG Soldiers.

2–7. Rules for designating a senior rater

The following are senior rater requirements and eligibility by form:

a. Officer evaluation reports.

(1) Except as otherwise provided in paragraphs (5), (6), and (7), below, a senior rater will be a commissioned officer of the U.S. Armed Forces, U.S. Coast Guard, or a DOD civilian employee (including nonappropriated fund employees). Members of allied armed forces are not authorized to be senior raters.

(2) The minimum grade for a senior rater will be in accordance with table 2–1. A civilian senior rater will be a designated supervisor of the rated officer serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in table 2–1.

Note. See exceptions for AMEDD officers in appendix E.

(3) The senior rater will normally be the immediate supervisor of the rater and a supervisor above all other rating officials in the rated officer's chain of command or chain of supervision, except as indicated in paragraph (10), below. To render a written evaluation report, the senior rater will have been designated as the rated officer's senior rater for a minimum period of 60 calendar days.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the senior rater must have served in that capacity for a minimum of 90 calendar days versus 60 calendar days (see apps G and H).

(4) Senior executive service (SES) members serving in DOD positions may senior rate all grades of rated officers, provided they are in the rated officer's chain of supervision and are at least one level above the rater or intermediate rater of the rated officer.

Note. SES members are members of the SES, as defined in 5 USC 3132(a)(2), or are of equivalent rank or precedence. See paragraph 2–8a(2) and section IV regarding supplementary review requirements. DA Pam 623–3 provides procedural guidance on evaluation report administrative data.

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

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

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

(8) Requests for exception to policy will be submitted to USAHRC (AHRC–PDV–E) (address in app F) at the

beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the senior rater. Written requests will be in memorandum format on letterhead stationery and will indicate the rated officer's rank and full name, SSN, the period during which the U.S. Government official will serve as the senior rater, the effective date, and the justification for him or her to serve as senior rater (see app F for address). A copy of the USAHRC-approved exception to policy memorandum will be submitted to HQDA as an enclosure to the completed OER.

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

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

(11) A senior rater who has been selected for promotion but who is not in a position authorized for the next grade will be considered to be serving in his or her current rank. The symbol "P" will not be put next to his or her current rank on the applicable evaluation form.

(12) Senior raters will be senior in grade or date of rank to the rater and the intermediate rater and will meet the minimum grade requirements of table 2-1. Exceptions to this rule may apply if—

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

(b) The senior rater is a COL serving in a COL-level Chief of Staff position and is, therefore, authorized to senior rate the rated Soldiers of the personnel he or she rates.

Note. This authority does not apply to a COL serving as the acting Chief of Staff.

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

(13) To senior rate officers in the ranks of WO1 through captain promotable (CPTP) or major (MAJ)—

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

(b) Civilian senior raters will be in a supervisory position and general managers (GM), general government (GG), general schedule (GS -13), or universally administrative (UA) equivalent to rate officers in the ranks of warrant officer through CPTP or MAJ.

(14) To senior rate officers in the ranks of MAJP or LTC—

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

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

(15) To senior rate officers in the ranks of COL and brigadier general (BG)—

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

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

Table 2-1
Minimum grade requirements for senior raters on officer evaluation report

Rank of rated officer	Minimum rank or grade of military senior rater	Minimum grade/schedule and pay grades of civilian supervisor senior rater		
		Merit/GS pay grade	Nonappropriated fund	SES (see paras 2-7a(4) and 2-7a(15)(a))
WO1—chief warrant officer five (CW5)/2LT/1LT	O-4 MAJ/Maj/(CPTP)	GM/GG/GS-13	UA-13	
1LTP/CPT	O-5 LTC/Lt Col/MAJP	GM/GG/GS-13	UA-13	
CPTP/MAJ	O-6 COL/Col/LTCP	GM/GG/GS-13	UA-15	
MAJP/LTC	O-6 COL/LTCP	GM/GG/GS-15	UA-15	
LTCP/COL	O-7 BG/BGen/Brig Gen/(COLP)	SES (see paras a(4) and (15)(a), above)	UA-16	

**Table 2-1
Minimum grade requirements for senior raters on officer evaluation report—Continued**

COLP/BG/MG	Senior to the rater and in- intermediate rater	Senior to the rater and in- intermediate rater	Senior to the rater and in- intermediate rater
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Notes:

¹ A promotable officer (signified on the OER by placing a "P" after the current rank) is one who is on a promotion list and is currently serving in a position authorized for the next higher rank or grade.

² Civilian supervisors must be officially designated on the published rating scheme established by the local CDR and of the pay grade indicated.

³ As an exception to this rule, senior Army advisors, ARNG, are rated by the associated State/Territory AG and senior rated by the assigned First Army Division CDR (Division East or Division West), regardless of the relative dates of rank of the rating officials.

⁴ Other exceptions to this rule apply as indicated in paragraph (12)(b), above and for AMEDD COLs as specified in appendix E.

⁵ Supplementary review of OERs is required in cases where the senior rater is not a U.S. Army officer or a DA civilian.

⁶ Navy senior rater rank equivalents are: O-4 - lieutenant CDR, O-5 - CDR; O-6 - Captain, O-7 - rear admiral (lower half-BG equivalent), O-8 rear admiral (upper half-MG equivalent). Admirals, who are equivalent to general officers, are referred to as "flag officers."

b. Noncommissioned officer evaluation reports.

(1) A senior rater will be an officer or NCO of the U.S. Armed Forces, U.S Coast Guard, or a DOD civilian (or nonappropriated fund civilian) who is senior to the rater either in pay grade or date of rank and in the direct line of supervision of the rated NCO. Members of allied armed forces are not authorized to be senior raters.

(2) The senior rater will be the immediate supervisor of the rater and designated as the rated NCO's senior rater for a minimum period of 60 calendar days (see chap 3, secs VIII and IX).

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the senior rater must have served as the supervisor for a minimum of 90 calendar days versus 60 calendar days (see apps G and H).

(3) Senior raters will be senior to the rater by either grade or date of rank. If a 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 next grade, then he or she may senior rate any NCO he or she supervises, if after the rater's promotion he or she will be senior in pay grade or date of rank to the rated NCO.

(4) CDRs may appoint civilian employees of DOD in the grade of GM/GG/GS-09 or equivalent and above, 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 Armywide policy. Therefore, the minimum grade for civilian senior raters holding other than GS pay grades is determined by local CDRs. The civilian senior rater will be officially designated on the published rating scheme established by the local CDR.

2-8. Rules for designating a reviewer

a. Officer evaluation reports.

(1) *Reviewer eligibility and responsibility.* In most instances, the senior rater will accomplish the final rating chain review; other mandatory reviews are discussed in paragraphs 2-17 and 2-18.

(2) *Supplementary review requirement.* Supplementary reviews will be conducted if the senior rater 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 CDR establishing the rating chain and identified in the published rating scheme at the beginning of the evaluation period.

(a) When such a review is conducted, the supplementary reviewer will prepare an enclosure to the evaluation report, as described in figure 2-1. If necessary, the reviewer will comment upon the accuracy or clarity of the completed OER. The comments will not include evaluative statements about the rated officer or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain. If there are no comments, the reviewer will indicate in the enclosure that no added comments are necessary.



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

(Office Symbol)

(Date)

MEMORANDUM FOR *(Rated Officer's Name, Rank, SSN, Report Period Covered)*

SUBJECT: Supplementary OER Review as Required by AR 623-3, paragraph 2-17c

1. As required by AR 623-3, Evaluation Reporting System, an additional review of the referenced OER was made by me, using paragraph 2-17c as the principal source of guidance.

(Reviewer selects one of two 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:

(Signature block of the reviewer)

Note: The electronic DA Form 67-9 in the AKO Forms application has a pre-prepared format for a Supplementary Review memorandum as an enclosure to the basic form instead of preparing a separate memorandum. If used instead of a separate memorandum, the format will be completed and digitally signed, then submitted as an enclosure to the completed OER.

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

(b) If no U.S. Army officer or DA civilian is available above the senior rater in the chain of command, the submitter will request a review by HQDA (fig 2-2).



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

(Office Symbol)

(Date)

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

SUBJECT: Request for HQDA Supplementary of Officer Evaluation Report for *(Rated Officer's Name, Rank, SSN, Report Period Covered)*

1. In accordance with AR 623-3, Evaluation Reporting System, paragraph 2-8, a supplementary review by a U.S. Army officer or Department of the Army (DA) civilian is required.
2. I request that HQDA conduct this required review as there is no U.S. Army officer or DA civilian above me in my chain of command or supervision.
3. Point of contact for this request is the undersigned at *(telephone number)* or *(email address)*.

(Signature block of the senior rater)

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

(3) *Special branch evaluation reports.* For chaplains, see appendix C; for JAGC officers, see appendix D; and for AMEDD officers, see appendix E.

Note. Appendix E does not apply to ARNG Soldiers.

b. Noncommissioned officer evaluation reports.

(1) *Reviewer eligibility and responsibility.* The designated reviewer on the published rating scheme will perform the mandatory review of completed NCOERs.

(a) The reviewer will be a U.S. Army officer, CSM, or SGM in the direct line of supervision and senior in pay grade or date of rank to the senior rater. A promotable MSG working in an authorized CSM or SGM position may serve as a reviewer.

Note. Every NCOER should be reviewed by the rated NCO's 1SG, CSM, or SGM to ensure accountability of Soldiers' evaluation reports and to oversee performance of junior NCOs (para 2-19).

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

(c) CDRs may appoint officers of other U.S. Armed Forces, U.S. Coast Guard, DOD civilian employees in the grade of GM/GG/GS-12 or above, or equivalent under any other federal civilian pay system, as reviewers when—

1. Grade and chain of supervision requirements are met.
2. Either the rater or senior rater is a U.S. Army rating official.

(2) *Supplementary review requirement.* In cases where both the rater and senior rater are other than U.S. Army rating officials and no U.S. Army reviewer is available, either—

(a) The report will be reviewed by a U.S. 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 officers and SES members or equivalent serving with any branch of the U.S. Armed Forces may be appointed as reviewers.

(3) *General officer serving as rater and senior rater.* In cases where the rater or senior rater is a general officer or a civilian employee of the SES or equivalent rank and precedence, that official will also act as reviewer. A promotable COL working in a BG position who is the senior rater may also serve as the reviewer.

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

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

a. The reviewing officer for Service school evaluation reports (DA Form 1059) will be the commandant, academic dean, or an official designated above the evaluating officer or academic official.

b. The HQDA advanced civil schooling office is the reviewer for civilian academic evaluation reports (DA Form 1059–1) for all programs under AR 621–1 and AR 621–7.

Section III

Roles and Responsibilities of Rating Chain Members

2–10. The rated Soldier

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

(1) Normally, to be eligible for an 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).

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating period will be 120 calendar days versus 90 calendar days (see apps G and H).

(2) Newly commissioned officers (active Army and ARNG) and newly appointed warrant officers will not be eligible to receive OERs, except for “Relief for Cause” reports, until after the completion of the respective officer basic course (either Basic Officer Leaders Course (BOLC) or warrant officer basic course (WOBC)). Units will begin the rating period upon arrival at the first duty station or assignment after completion of BOLC or WOBC. The officer’s first “Annual” (“Extended Annual”) OER will be due 1 calendar year after arrival at the first duty assignment (paras 3–34, 3–41, and 3–42) unless another event (for example, “Change of Rater” or “Change of Duty”) occurs. The “FROM” date in the period covered will be the commissioning or appointment date.

Note. See paragraph G–5m for guidance on evaluation report eligibility for newly commissioned USAR officers and newly appointed USAR warrant officers.

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

b. The rated Soldier will—

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

(2) Participate in counseling and provide and discuss with the rating chain the duty description, performance objectives, academic standards, and/or course requirements with the rater, as appropriate. This will be done within 30 days after the beginning of each new rating period and at least quarterly thereafter.

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

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

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

Note. The digitally signed evaluation report will serve as the Soldier’s copy. If the rated Soldier manually signs a paper copy, is unavailable to sign, or refuses to sign an evaluation report, an electronic or paper copy will be provided to him or her.

c. Unique requirements for OERs include—

(1) In addition to the responsibilities listed above, officers with the ranks of CPT, LT, CW2, and WO1 are responsible for—

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

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

(2) For referred OERs, the rated officer is responsible for acknowledging the senior rater's referral of the OER, signing the completed evaluation report, and providing comments regarding the report by the reasonable suspense date set by the senior rater. The referral may be made face-to-face, by a certified letter, or by an automated routing of the evaluation report (see paras 3-26 through 3-28, and DA Pam 623-3).

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

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

a. Officer evaluation reports.

(1) If a rated officer or rating official has been selected for promotion and is in an authorized position for the next higher rank or grade, he or she will be considered to be serving at the next higher rank or grade when determining the rating chain. The designation "P" will be entered after the officer's current rank on DA Form 67-9, part I, block c only if both criteria are met (see DA Pam 623-3).

Note. The rules and requirements for the next higher rank or grade will apply. The ranks entered on the report will be as of the "THRU" date of the report.

(2) If a rated officer has been selected for promotion but is not in an authorized position for the next grade, the rules and requirements for the *current* grade will apply when determining the rating chain. The designation "P" will not be entered after the officer's current rank on DA Form 67-9 (see DA Pam 623-3).

b. Noncommissioned officer evaluation reports. The "P" designation will not be entered next to the rank of the rated NCO on DA Form 2166-8, part I, block c; however, it may be used with the ranks for rating officials (see DA Pam 623-3).

Note. The rules and requirements for the next higher rank or grade will apply. The ranks entered on the report will be as of the "THRU" date of the report.

2-12. The rater

The rater will—

a. Provide a copy of his or her support form (or equivalent), along with the senior rater's support form (or equivalent), to the rated Soldier at the beginning of the rating period.

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

c. Counsel the rated Soldier.

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

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

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

d. Use the support and counseling forms.

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

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

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

f. Provide an honest assessment of the rated Soldier's performance and potential, using all reasonable means, including personal contact, records and reports, and the information provided by him or her on DA Form 67-9-1 (or equivalent), DA Form 67-9-1a (if required), and DA Form 2166-8-1.

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

h. Verify the rated Soldier's APFT results, if taken, and height and weight data for entry on the evaluation report (DA Form 67-9, part IV, block c; DA Form 2166-8, part IV, block c; and DA Form 1059, item 14). The rater must provide comments for an APFT failure, a "No" entry for height and weight compliance, or the absence of APFT or height and weight data (refer to paras 4-3c(4) and (5) and DA Pam 623-3).

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 roles for raters (DA Form 67-9-1a)

a. The raters of CPTs, LTs, CW2s, and WO1s will ensure that DA Form 67-9-1a (or equivalent) 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 DA Form 67-9-1 (or equivalent) 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 follow-up counseling sessions to discuss performance, update and/or revise developmental tasks, as required, and assess developmental progress. Summary or key comments will be recorded on the DA Form 67-9-1a (or equivalent).

2-14. The intermediate rater (DA Form 67-9)

Note. The provisions of this paragraph do not apply to DA Form 2166-8, DA Form 1059, or DA Form 1059-1.

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

(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 (or equivalent).

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

2-15. The senior rater (DA Form 67-9 and DA Form 2166-8) or reviewing official (DA Forms 1059 and 1059-1)

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

b. Requirements. Senior raters and reviewing officials will—

(1) Ensure support forms (or equivalent) 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, use personal contact, records and reports, and the information provided on the rated Soldier's support form (or equivalent).

(3) Assess and evaluate the abilities and/or potential of the rated Soldier relative to his or her contemporaries.

Note. For OERs, this includes officers of the same rank and promotable officers who are serving at the same rank as the rated officer.

This involves evaluating performance in perspective by considering—

(a) The rated Soldier's experience.

(b) The relative risk associated with the performance.

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

(d) The prudence and results of action taken.

(e) The adequacy of resources.

(f) The overall efficiency of the organization.

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

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

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

(6) Ensure rated Soldiers sign evaluation reports before departing from a unit of assignment, military or civilian school or course of instruction.

Note. The digitally signed evaluation report will serve as the Soldier's copy. If the rated Soldier manually signs a paper copy, is unavailable to sign, or refuses to sign an evaluation report, an electronic or paper copy will be provided to him or her.

c. Officer evaluation reports. Senior raters will—

(1) In addition to evaluating rated officers, normally perform the final review of the OER before it is provided to the rated officer for signature. A senior rater who is not qualified to evaluate a rated Soldier due to lack of time in the position will still act as a reviewer. Following his or her signature of the completed DA Form 67-9, and signature by the rated officer, he or she will ensure the final report is submitted to HQDA in a timely manner and a copy is provided to the rated officer (in accordance with this regulation and DA Pam 623-3).

(2) Review and initial DA Form 67-9-1 (or equivalent), and, when applicable, DA Form 67-9-1a (or equivalent), at the beginning of the rating period and the completed DA Form 67-9-1 (or equivalent) at the end of the rating period when preparing his or her portion of the OER.

(3) Whenever possible, for referred OERs (DA Form 67-9, part II, block d), ensure that the rated officer is given an opportunity to review the completed report and provide comments for consideration before authentication and departure from the unit or organization. The senior rater will ensure the completion of all necessary referral actions and submission of the appropriate documents to HQDA in as timely a manner as practicable (paras 3-26 through 3-28).

d. Noncommissioned officer evaluation reports. Senior raters will—

(1) In addition to evaluating the rated NCO, perform a review of the NCOER before forwarding it to the reviewer. A senior rater who is not qualified to evaluate a rated NCO due to lack of time in the position will still conduct an administrative review and sign the DA Form 2166-8 before forwarding it to the reviewer. Following completion of the NCOER by the designated reviewer and the rated NCO, he or she will also ensure the final report is submitted to HQDA in a timely manner and a copy is provided to the rated NCO (in accordance with this regulation and DA Pam 623-3).

(2) Review and initial the DA Form 2166-8-1 at the beginning of the rating period and sign the completed DA Form 2166-8 at the end of the rating when preparing his or her portion of the NCOER.

e. Academic evaluation reports. Qualification to serve as the reviewing official is determined by the standards of the military course of instruction and/or civilian institution. For Service school AERs, the reviewing officer will normally be the individual above the rater in the chain of supervision. The review function for Service school AERs will go no higher than the school commandant. School commandants will ensure that military, DA civilian, or SES reviewing officials meet the minimum senior rater rank or grade requirements in table 2-1. Reviewing officials will ensure timely submission of completed AERs to HQDA and a copy is provided to the rated Soldier (in accordance with this regulation and DA Pam 623-3).

Section IV

Evaluation Report Reviews

2-16. Review of evaluation reports

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

b. For OERs, the review is normally an inherent responsibility of the senior rater. A documented supplementary review, performed by an authorized individual above the rating chain, is required when the senior rater is not a U.S. Army officer or a DA civilian, and for "Relief for Cause" reports when the senior rater is the individual directing the relief.

c. For NCOERs, the review is conducted by a designated individual in the rating chain. An additional, yet undocumented, review of completed NCOERs should be done by the senior NCO in the organization to ensure oversight of NCOs' performance. In some instances, the reviewer may need to document nonconcurrence with a report and/or inconsistencies between the rater's and senior rater's evaluations of a rated NCO.

d. For Service school AERs, the reviewing officer is a designated individual in the chain of supervision, as determined by the school commandant. A documented supplementary review is required for academic failure reports. For civilian institution AERs, an administrative review is conducted by the HQDA advanced civil schooling office.

2-17. Review of officer and academic evaluation reports

a. In most instances, the senior rater (OERs), or the reviewing officer or reviewer (AERs), will perform the final rating chain review ensuring that—

(1) Evaluation rating chains are correct.

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

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

(4) The communication process between the rater and rated officer has taken place, is documented properly as

described in paragraph 3–4 and/or in accordance with academic counseling standards established by the military or civilian institution.

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

Note. The senior rater or the supplementary reviewer (para c, below) may not direct that the rater and/or senior rater change an evaluation believed to be honest.

(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 comments provided by the rated Soldier and documentation of any required supplementary review in paragraph c, below. Supplementary review memoranda will be prepared in accordance with paragraph c, below, and figure 2–1 or 2–2 and will be submitted to HQDA (addresses in app F).

Note. Comments and supplementary review memoranda may be enclosed as external attachments for submission to HQDA using electronic DA Form 67-9 ("My Forms" Portal on AKO). ("My Forms" Portal users must have an AKO account. The portal is accessed through the AKO account using the 'Forms' button.)

b. In addition to the above, reviewers of "Relief for Cause" OERs (para 3–55) or "failed to achieve course standards" AERs (para 3–27a(4)) will follow the guidance of paragraph 2–18.

c. Supplementary reviews of OERs and AERs (DA Form 1059) will be conducted in certain situations by persons other than the senior rater or reviewing officer. Supplementary reviews will be accomplished after receipt and review of rated Soldier's comments, if provided.

(1) For OERs—

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

(b) If the senior rater is not a U.S. Army officer or a DA civilian, a supplementary review will be performed by the first U.S. Army officer or DA civilian above the senior rater in the chain of command or chain of supervision. This officer will be designated by the CDR establishing the rating chain and identified in the published rating chain. When such a review is conducted, the supplementary reviewer will prepare a memorandum as an enclosure to the OER, as illustrated in figure 2–1. The memorandum will comment on the accuracy and/or clarity of the completed OER in accordance with this regulation. The comments will not include evaluative statements about the rated officer or statements that amplify, paraphrase, or endorse the comments and/or ratings of the rating chain members. If there is no available U.S. Army officer or DA civilian above the senior rater in the chain of command, the senior rater or his or her BN/BDE S1 or administrative office will request an additional review by HQDA (see fig 2–2).

(2) For AERs—

(a) DA Form 1059. A supplementary review of all "failed to achieve course standards" AERs will be conducted by the person in the chain of supervision above the reviewer, unless the commandant is the reviewing officer on the AER. Reviews will go no higher than the school commandant

Note. School commandants may delegate signatory or 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. See paragraphs 2–16, 2–18, and DA Pam 623–3 for additional guidance on AER processing and review requirements.

(b) DA Form 1059–1. An administrative review is conducted by the HQDA advanced civil schooling office (address in app F).

2–18. Mandatory review of officer relief and academic failure evaluation reports

An additional review of "Relief for Cause" OERs and "failed to achieve course standards" AERs is required following referral to the rated officer.

a. When an officer is officially relieved of duties and a "Relief for Cause" OER (para 3–54) or a "failed to achieve course standards" AER (para 3–27) is subsequently prepared, these evaluation reports require referral to the rated officer as described in paragraph 3–28.

Note. This referral will be completed before taking any of the actions in the following subparagraphs.

b. Reviewers of "Relief for Cause" OERs or "failed to achieve academic standards" 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 has been accurately reflected.

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

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


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

c. All "Relief for Cause" OERs or failed to achieve academic or course standards AERs will be reviewed by the

first U.S. Army officer or DA civilian in the chain of command or supervision who is senior to the individual directing the relief.

(1) If the relief is directed by the rater or intermediate rater, the senior rater will perform the review, provided he or she is a U.S. Army officer or DA civilian. Otherwise, the first U.S. Army officer or DA civilian in the chain of command or supervision above the individual directing the relief will perform a supplementary review of the evaluation report. The reviewer's comments will be prepared as an enclosure to the OER (fig 2-3).

(2) If there is not a U.S. Army officer or DA civilian in the chain of command or supervision above the person directing the relief, the senior rater will request that HQDA perform the review function.



(Office Symbol)

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

(Date)

MEMORANDUM FOR *(Rated Officer's Name, Rank, SSN, Report Period Covered)*

SUBJECT: Supplementary Review of Relief for Cause OER (or Failed to Achieve Course Standards AER)

1. As required by AR 623-3, Evaluation Reporting System, an additional review of the referenced relief for cause OER was made by me, using paragraph 2-18 as the principal source of guidance.
2. As a result of my review, I submit the following comments:

(Signature block of the reviewer)

Figure 2-3. Sample format for a "Relief for Cause" or academic failure supplementary review memorandum

d. The procedures for reviewing "Relief for Cause" OERs are as follows:

(1) If the senior rater is qualified to serve as the reviewer and he or she 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 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.

(3) If the senior rater is not a U.S. Army officer or DA 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 OER will be reviewed by the first U.S. Army officer or DA civilian in the chain of command above the individual directing the relief. This officer will perform the functions described in paragraphs 2-16 and 2-17. His or her comments will be prepared as an enclosure to the OER (fig 2-1 or 2-3).

(4) If there is not a U.S. Army officer or DA civilian in the chain of command or supervision above the person directing the relief, the report will be forwarded to HQDA for review (see app F for contact information).

(5) Changed "Relief for Cause" OERs will be referred, again, by the senior rater to the rated officer, in accordance with paragraph 3-28 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.)

(6) If the corrected evaluation report is satisfactory to the senior rater (or other reviewer), the senior rater (reviewer) will continue to process the report, in accordance with paragraph 3–28.

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

e. Service school AERs (DA Form 1059) that reflect “failed to achieve course standards” require a supplementary review by the next individual above the reviewing officer in the chain of supervision, unless the school commandant is the reviewing officer on DA Form 1059. Supplementary reviews will go no higher than the school commandant (para 2–17 and DA Pam 623–3).

2–19. Review of noncommissioned officer evaluation reports

a. Every NCOER should be reviewed by the 1SG, SGM, or CSM to ensure accountability of Soldiers’ evaluation reports and to oversee the performance of junior NCOs. This is in addition to the review by the designated reviewer in accordance with paragraph 2–16, if applicable.

b. The reviewer will—

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

(2) Examine the evaluations rendered by the rater and senior rater to ensure they are clear, consistent, and just in accordance with known facts. Special care will be taken to ensure the specific bullet comments support the appropriate “Excellence” or “Success” or “Needs Improvement” ratings in part IV, blocks b through f of DA Form 2166–8 (see DA Pam 623–3 for definitions).

c. 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 checking the appropriate box in part II and adding an enclosure, not to exceed one page (fig 2–4). For specific instructions, see DA Pam 623–3.



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

(Office Symbol)

(Date)

MEMORANDUM FOR RECORD

SUBJECT: NCOER Nonconcurrency Memorandum for *(Rated NCO's Name, Rank, SSN, Report Period Covered)*

1. As the reviewer during the period in question, I nonconcur with the *(rater's/senior rater's)* evaluation of *(name or rated NCO)*.
2. I submit the following information to clarify the situation and indicate what I consider to be proper evaluation of performance and/or potential. I.... *(Submit your basis for nonconcurrency with the rater's/senior rater's assessment of the rated NCO.)*

(Signature block of the reviewer)

Note: The electronic DA Form 2166-8 the AKO Forms application has a pre-prepared format for an NCOER nonconcurrency memorandum as an enclosure to the basic form. If the electronic enclosure is used instead of a separate memorandum, the format will be completed and digitally signed, then submitted as an enclosure to the completed NCOER. (If the comments exceed the space allotted on the form, indicate that the comments are continued on an additional attached external document.)

Figure 2-4. Sample format for a noncommissioned officer evaluation report nonconcurrency memorandum

(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 or her opinion regarding the rated NCO's performance and potential (para (7), below, and fig 2-4).

(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 will notify the rating chain and rated NCO of nonconcurrency with the report to ensure that the rating chain and the rated NCO are informed of the completed report and may allow for a possible request for a CDR's or Commandant's Inquiry or appeal, if desired.

(7) When applicable, the reviewer will submit an NCOER nonconcurrency memorandum as an enclosure to the completed DA Form 2166-8. This memorandum is an internal enclosure to the electronic DA Form 2166-8 ("My Forms" Portal on AKO) for completion and forwarding with the NCOER, when needed. Alternatively, a one-page

nonconcurrency memorandum, in the format shown in figure 2–4, may be forwarded with the NCOER as an external enclosure.

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

e. Following completion of the review, the senior rater will forward the NCOER to HQDA and NCOER nonconcurrency memorandum (if any) to—

(1) HQDA for active Army, USAR, and AGR NCOERs (see app F).

(2) State EPM or National Guard Bureau (NGB) Readiness Center for ARNG NCOERs (see app F).

Section V

Special Evaluation Reporting Requirements

2–20. Loss of a rating official or rated Soldier

Special rules apply when a rating official is eliminated from the rating chain or is unable to render an evaluation of the rated Soldier. These situations occur when a rating official dies, is declared missing, is relieved of his or her position or duties for cause, or becomes mentally or physically incapacitated to such an extent that he or she is unable to render an objective or accurate evaluation. When a rating official is officially relieved or determined to be incapacitated, he or she will not be permitted to evaluate his or her subordinates. This restriction will apply to evaluation 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 officer evaluation reports.*

(1) When the rater is eliminated from the rating chain for any of the reasons cited above, a determination will be made whether or not the minimum rating period (90 or more calendar days) for an evaluation report have been met (para 2–10b).

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for raters is 120 calendar days versus 90 calendar days (see apps G and H).

If the minimum rating period has not been met, the period is nonrated and a new rater will be designated.

(a) If the minimum rating period has been met, the intermediate rater, if any, will perform the rater’s functions. The intermediate rater will do so only if he or she feels qualified to rate and has served in the rated officer’s rating chain for a period of 60 or more days.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for senior raters is 90 calendar days versus 60 calendar days (see apps G and H).

(b) If there is no intermediate rater, or if the intermediate rater does not have adequate knowledge of the rated officer’s performance and potential to qualify him or her to render an evaluation report or has not met the 60-day requirement, the senior rater will perform the rater’s function, but only if he or she feels qualified to rate and has served in the rating chain for 60 or more calendar days. Likewise, if the senior rater does not have adequate knowledge of the rated officer’s performance and potential to qualify him or her to render an evaluation report or has not met the 60-day requirement, the period will be nonrated. If a senior rater assumes the role of rater, he or she will serve as both rater and senior rater (see para 2–21).

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for senior raters is 90 calendar days versus 60 calendar days (see apps G and H).

(2) When the intermediate rater is removed, a new intermediate rater may be appointed who will participate in an evaluation when one is due after completing the required minimum time as the intermediate rater. If an evaluation report is due and a new intermediate rater has not been appointed as part of the rating chain, no intermediate rater will appear on the evaluation report (as applicable).

(3) When the senior rater is removed, a new rating official will be designated by either of two options—

(a) A new senior rater may be appointed who will participate in an evaluation when one is due after completing the required minimum time as the senior rater.

(b) The original senior rater’s rater may be appointed as the senior rater. In order to evaluate the rated officer as the senior rater, he or she must be a member of the U.S. Armed Forces or employee of DOD, be of the appropriate rank or grade, and have adequate knowledge of the rated officer’s performance and potential to qualify him or her to render an evaluation in place of the removed senior rater. Minimum senior rater time qualifications for this individual are not required.

(4) When a rating official is removed from his or her duty position for cause or suspended, he or she will not render or receive evaluation reports until his or her status (and, thus, his or her ability to serve as a rating official) is decided.

(a) When a rater or senior rater is suspended, the suspended time will be counted as nonrated time on the rated officer’s evaluation report.

(b) If relieved, the provisions of this paragraph will apply.

(c) If not relieved, the provisions of this paragraph do not apply, and evaluation reports held pending a status determination must be completed.

(5) In cases when both the rater and senior rater are eliminated from the rating chain (and there is no intermediate rater), the rating period will normally be declared nonrated time with a nonrated code of "Z" and the next rating chain will account for that period of time in the next OER.

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

On a case-by-case basis, as an exception to policy, HQDA can approve the senior rater's rater to serve as both rater and senior rater on the rated officer's evaluation report. In order to evaluate the rated officer as the senior rater, he or she must be a member of the U.S. Armed Forces or employee of DOD, be of the appropriate rank or grade, and have adequate knowledge of the rated officer's performance and potential to qualify him or her to render an evaluation report in place of the removed senior rater. Minimum senior rater time qualifications for this individual are not required.

b. Requirements for noncommissioned officer evaluation reports.

(1) When the rater is eliminated from the rating chain for any of the reasons cited above, it will be determined whether the minimum rating period for an evaluation report has been met (para 2-10a(1)).

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum required rating period for senior raters is 90 calendar days versus 60 calendar days (see apps G and H).

(a) If the minimum rating period has not been met, the period is nonrated and a new rater will be designated.

(b) If the minimum rating period 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. See paragraph 2-21 and DA Pam 623-3 for evaluation report procedures when the senior rater also serves as the rater.

(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 he or she may participate in the evaluation process after completing the minimum time requirements in position.

(3) When a rating official is removed from his or her duty position for cause, or suspended, he or she will not render or receive evaluation reports, until his or her status (and, thus, his or her ability to serve as a rating official) is decided.

(a) When a rater or senior rater is suspended, the suspended time will be counted as nonrated time on the rated NCO's evaluation report.

(b) If relieved, the provisions of this paragraph will apply.

(c) If not relieved, the provisions of this paragraph do not apply, and evaluation reports held pending a status determination must be completed.

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

(5) In cases when both the rater and senior rater are removed from the rating chain, the rating period will normally be declared nonrated time with a nonrated code of "Z", and the next rating chain will account for that period of time in the next NCOER.

Note. Comments about events that occurred during nonrated periods are prohibited. If the rated NCO will be seen by an HQDA-level selection board, he or she may request a nonrated time statement, which he or she can submit with a letter to the president of the board to explain an abnormal gap in his or her evaluation report history.

On a case-by-case basis, as an exception to policy, HQDA can approve the senior rater's rater to serve as both rater and senior rater on the rated NCO's evaluation report. In order to evaluate the rated officer as the senior rater, he or she must be a member of the U.S. Armed Forces or employee of DOD, be of the appropriate rank or grade, and have adequate knowledge of the rated NCO's performance and potential to qualify him or her to render an evaluation report in place of the removed senior rater. Minimum senior rater time qualifications for this individual are not required.

c. Requirements for academic evaluation reports.

(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 CG, U.S. Army Training and Doctrine Command (TRADOC) 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.

d. Loss of rated Soldier.

(1) Evaluation reports are not required for deceased Soldiers.

(2) Any required evaluation reports with a "THRU" date prior to the date of a Soldier's death can still be prepared for processing to the Soldier's OMPF.

(a) The deceased Soldier's file in the interactive Personnel Electronic Records Management System will remain

open for 6 months after the date of a Soldier's death, on a conditional basis, to allow for the final processing of any documentation (such as awards and/or DD Form 214 (Certificate of Release or Discharge from Active Duty)).

(b) Submission and processing of any required evaluation reports must be accomplished within this 6-month window.

2-21. Supervisor as both rater and senior rater

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

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

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

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

(2) A CDR for his or her inspector general.

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

(4) A BG who is a CDR or school commandant (includes a promotable COL working in a BG CDR or commandant position).

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

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

(b) Assistant Secretaries of Defense.

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

(d) Assistant Secretaries of the Army.

(e) The Chief of Staff, Army.

(f) The Vice Chief of Staff, Army.

(g) Chairman, Joint Chiefs of Staff.

(h) Vice Chairman, Joint Chiefs of Staff.

(i) The Supreme Allied CDR, Europe.

(j) CDRs of 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 COL in a general officer position, unless there is no senior official who could logically serve as senior rater.

d. General officers authorized to serve as both rater and senior rater may evaluate a rated officer after meeting the minimum rating period (60 rated days) for mandatory evaluation reports (paras 3-40 through 3-55), rather than the standard rating requirement of 90 calendar days.

Note. For USAR TPU, DIMA, and IRR Soldiers and ARNG Soldiers, the minimum rating requirement for general officers is 90 calendar days, rather than the standard requirement of 120 calendar days for USAR and ARNG raters (see apps G and H).

e. When the above situations apply, additional reviews may be required. Refer to paragraphs 2-16, 2-17, and 2-18.

f. On NCOERs, a rater may act as both the rater and senior rater when the rater is a general officer or a civilian employee with SES rank and precedence (para 2-8b(3)). A promotable COL working in a BG position may also serve as both the rater and senior rater.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum rating requirement for general officers is 90 calendar days, rather than the standard requirement of 120 calendar days for USAR and ARNG raters (see apps G and H).

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

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

Note. This paragraph does not apply to DA Form 2166-8, DA Form 1059, or DA Form 1059-1.

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

b. Both chains of command or supervision will be represented in the rating chain. This can be accomplished by dividing the rating chain positions between the two supervisory chains (preferred method). For example, the rater might be selected from the nonparent unit and the senior rater from the parent unit. 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. Rating officials must meet the minimum time requirements in order to render an evaluation on the rated officer.

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

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the minimum OER rating requirement is 90 calendar days, rather than 60 calendar days (see apps G and H).

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

e. The duty description on both OER support forms (or equivalent) and evaluation 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.

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

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 report requirements for warrant officers are in appendix B.

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

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

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

Chapter 3 Army Evaluation Principles

Section I Evaluation Overview

3-1. Introduction

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

3-2. Evaluation report requirements

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

b. Reports will be submitted for—

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

(2) All warrant officers through the rank of CW5. Evaluation reports are not required but are optional for CW5s serving in three- and four-star nominative positions, except for "Relief for Cause" OERs. 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 ranks of SGT through CSM. Reports are optional for CSMs serving in three- and four-star nominative positions, except for "Relief for Cause" NCOERs. 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 evaluation reports: mandatory and optional. These types of reports are further divided into reports requiring a 90-day minimum rating period and those that have an "other-than-90-day" minimum rating period requirement. To determine if a rated Soldier meets the minimum calendar-day requirement for an evaluation report described in this chapter, all nonrated time will be deducted from the total number of days in the period covered to determine if the Soldier has met the minimum rating period in the same position under the same rater.

Note. For USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers, the rater must have served as the supervisor for a minimum of 120 calendar days versus 90 calendar days (see apps G and H).

d. Rating officials greatly affect a rated Soldier's performance and professional development. Thus, these officials will ensure that the rated Soldier thoroughly understands the organization, its mission, his or her role in support of the mission, and all of the military and/or academic standards by which individual performance will be evaluated. The DA Form 67-9-1 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 evaluation reports that are forthright, accurate, and as complete as possible within the space limitations of the form. This responsibility is vital to the long-range success of the Army's mission. With due regard for the rated Soldier's current rank or grade, experience, and military schooling, evaluations will cover failures as well as achievements. Evaluations normally will not be based on a few isolated minor incidents. Rating officials have a responsibility to balance their obligations to the rated Soldier with their obligations to the Army. Rating officials will make honest and fair evaluations of Soldiers under their supervision. On the one hand, this evaluation will give full credit to the rated Soldier for his or her achievements and potential. On the other hand, rating officials are obligated to the Army to be honest and discriminating in their evaluations so Army leaders, HQDA selection boards, and career managers can make intelligent decisions.

g. Retirement evaluation report requirements include the following:

(1) All Soldiers will receive an evaluation report within 12 months before the first day of transition leave. Retirement reports of less than 1 calendar year are optional and will be rendered at the option of the rater or senior rater, or when requested by the rated Soldier (para 3-43c). Retirement reports that conclude a Soldier's military career, if rendered, will have a "THRU" date that is the final day of supervision or last duty day before beginning transition leave (or before the effective date of retirement, if no transition leave is taken).

(2) It is important on any final evaluation report that rating officials consider documenting performance and any unique skills that are of value to the Army. For more information on retirement reports, see paragraph 3-43c.

h. Retirees recalled to active duty will not receive evaluation reports because they no longer compete for promotion (para 3-32). At the option of the rating chain, all aspects of the ERS program may be used as a communication tool at the local or unit level, but a final report will not be submitted for processing. Therefore, no recalled retiree will be considered as part of the senior rater profile population.

i. A newly commissioned officer or newly appointed warrant officer will not be rated on an OER under any provisions of this regulation prior to completion of BOLC or WOBC, except for "Relief for Cause" reports. The period prior to attending BOLC or WOBC will be nonrated and will be accounted for in the officer's first OER (para 3-34b).

Note. This same policy also applies to ARNG officers (para H-4c); see paragraph G-5m for guidance regarding USAR officers.

j. Academic evaluation reports (DA Forms 1059 and 1059-1) are outlined in paragraphs 3-14 and 3-15 and DA Pam 623-3. Performance counseling for Soldiers attending military schools will be conducted in accordance with procedures established by the commandant of the school at the local level or CG, TRADOC. Academic performance counseling and evaluation reports for military personnel attending a civilian educational, medical, or industrial institution will be conducted in accordance with procedures established at the local level by the dean of the institution or appropriate civilian official.

3-3. Evaluation report forms

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

a. Chapter 2, OER Support Form (DA Form 67-9-1), Developmental Support Form (DA Form 67-9-1a), and OER (DA Form 67-9).

b. Chapter 3, NCOER Counseling and Support Form (DA Form 2166-8-1 and NCOER (DA Form 2166-8).

c. Chapter 4, Service School AER (DA Form 1059) and Civilian Institution AER (DA Form 1059-1).

Section II

Evaluation Report Support Forms

3-4. The support form communication process

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

a. The support form communication process is characterized by initial and follow-up face-to-face counseling between the rater and the rated Soldier throughout the rating period. This process is used to achieve the purposes of DA Form 67-9-1a, DA Form 67-9-1, and DA Form 2166-8-1. The initial face-to-face counseling assists in developing the elements of the rated Soldier's duty description, responsibilities, and performance objectives. The

follow-up counseling enhances mission-related planning, assessment, and performance development. Discussion and procedures on counseling are found in DA Pam 623-3 and field manual (FM) 6-22.

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

- (1) Direct and develop his or her subordinates.
- (2) Plan for accomplishing the mission.
- (3) Gain valuable information about the organization.
- (4) Find better ways to accomplish the mission.

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

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

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

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

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

d. The fact that the rated Soldier or rater initiates a support or counseling form at the beginning of the rating period provides impetus for the communication process. Discussion of duties and major performance objectives at the beginning of a rating period resolves misunderstandings and ambiguities before they can adversely affect performance and mission accomplishment. Throughout the rating period, the working copies of the DA Form 67-9-1a, DA Form 67-9-1 (or equivalent), and DA Form 2166-8-1 focus on follow-up face-to-face counseling on mission requirements and performance. This provides consistency and centers leadership communication and development from the beginning of the rating period until the end. See DA Pam 623-3, which discusses the automatic population of forms with up-to-date administrative data entries from HQDA's authoritative database when initially preparing support or counseling forms.

Note. The use of SSNs on support forms is optional because these documents are used exclusively at the local level; however, full SSNs for the rated officer and the senior rater assist in populating evaluation reports directly from the support form.

e. If the communication process has been properly executed, DA Form 67-9-1a, 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 or counseling 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 the face-to-face follow-up counseling by initialing the support or counseling form.

(2) Documentation of counseling is critical, particularly when substandard performance is indicated. The support or counseling form becomes a source document and through its use during counseling sessions and documentation of counseling can help to bring a substandard Soldier into standards.

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

f. Support or counseling forms enable the rated Soldier, rater, intermediate rater (if applicable), and senior rater to communicate and they provide documented input for consideration in preparing the evaluation report at the end of the rating period. The rater will use the support or counseling form to complete an assessment of the rated Soldier on the evaluation report and will forward both documents 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 his or her portion of the evaluation report and will forward documents to the senior rater. The senior rater will use the support form to assess the rated Soldier and will forward the completed evaluation report and support form to the reviewer for review and concurrence, if applicable, and/or to the rated Soldier for review and signature before its submission to HQDA.

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

that a completed support or counseling form is returned to the rated Soldier when the evaluation report is forwarded to HQDA.

3–5. Army performance objectives and special interest items

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

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

b. When applicable, rating officials will include rated Soldier performance related to these special interest items in their overall assessment on the evaluation report form. Additionally, AR 600–20 states that additional special interest items may be mentioned in a Soldier’s evaluation report, when substantiated by a completed command or other official investigation (for example, CDR’s or Commandant’s Inquiry, AR 15–6 investigation, equal opportunity (EO) investigation, and/or investigations by official military or civil authorities).

(1) In accordance with applicable Army guidance, rating officials of Soldiers with substantiated issues or incidents regarding Army performance objectives and/or command special interest items during the rating period may include such information on evaluation reports. The items in paragraph (2), below, and those mentioned in paragraphs 3–24 through 3–27 may be considered.

(2) Special interest items. This list is not all inclusive. Comments related to safety, individual and unit deployment readiness, and support of behavioral health goals will be included on all OER and NCOER support forms (or equivalent). Special interest item topics are not expected to be reflected on subsequent OERs and NCOERs, but they may be addressed when evaluating the rated officer’s or NCO’s overall performance and potential. CDRs may establish their own special interest items and performance objectives.

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

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

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

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

(e) Contracting and acquisition. See Department of Defense Instruction (DODI) 5000.66.

(f) Information Security Program. See AR 380–5. The rating officials will consider and may evaluate the rated Soldier’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.

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

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

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

(j) Training. A leader’s execution of training on prevention of sexual harassment and/or avoidance of sexual misconduct will be included in counseling.

Section III

Officer and Noncommissioned Officer Evaluation Reports, Roles, and Responsibilities

3–6. Rated Soldier

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

a. For officer evaluation reports.

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

(a) Draft his or her OER support form (or equivalent), within the first 30 days of the rating period, using the rater or senior rater support forms (or equivalent) as input for goals and objectives. Submitting written performance objectives for approval must be followed up by a face-to-face counseling or an alternative follow-up discussion. A rated officer serving under dual supervision will include on his or her support form (or equivalent) goals and performance objectives for both rating chains. This increases rating officials’ awareness of the rated officer’s objectives and responsibilities related to the goals and missions of both chains of supervision.

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

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

(a) Maintain a working copy of the OER support form (or equivalent) with the duties and objectives throughout the rating period. Rated officers will make additions or deletions to the duties and objectives on the working copy as changes occur and will discuss any changes to the working copy with raters. Follow-up face-to-face counseling is the most effective forum for these updates. Counseling should focus on learning that occurred (without dwelling on the past), the rated officer's progression toward meeting goals and objectives, and what the officer needs to complete or improve upon in his or her duty performance.

(b) Include the requirement to file Standard Form 278 (Executive Branch Personnel Public Financial Disclosure Report and Schedule A) as a result of assigned duties on DA Form 67-9-1, part IV, block a (or equivalent), if applicable. To determine whether they are required to file such forms, officers will consult their command ethics counselor or staff judge advocate (SJA). In accordance with Department of Defense Directive (DODD) 5500.07, civilian presidential appointees, general or flag officers, and Reserve general or flag officers who have served on active duty more than 60 days during a calendar year are required to file this form; otherwise, these officers must complete the Office of Government Ethics (OGE) Form 450 (Confidential Financial Disclosure Report).

(3) *End of the rating period.* The rated officer will—

(a) Prepare a final DA Form 67-9-1 (or equivalent) at the end of the rating period, sign and date it, and submit it to the rater. Dates of the initial and follow-up discussions from the working copy of DA Form 67-9-1 (or equivalent) will be reentered with initials on the final copy of the support form (or equivalent) (see DA Pam 623-3 for procedural guidance). The final DA Form 67-9-1 (or equivalent) will be considered by the rating officials in preparing DA Form 67-9. A rated officer serving under dual supervision will prepare a final DA Form 67-9-1 (or equivalent) for both supervisors.

(b) If desired, a CPT or 1LTP may express his or her personal preference for functional category and branch or functional area recommendations (DA Pam 600-3) during professional development counseling sessions with his or her rating officials.

Note. This applies to Army competitive category (ACC) officers only; it does not apply to USAR or ARNG officers.

b. For noncommissioned officer evaluation reports. Shortly after assuming duties, the rated NCO will be provided copies of the rater's and senior rater's support forms along with the unit's mission, valid rating chain, duty description, and specified goals and objectives.

(1) *Beginning of the rating period.* The rated NCO will discuss his or her duties, goals, and objectives with the rater during the initial counseling session.

(2) *During the rating period.* The rated NCO will maintain a personal copy of the DA Form 2166-8-1 as it is updated by the rater as feedback and guidance are provided in counseling sessions by the rater. The rated NCO will verify the face-to-face discussion by dating and initialing the DA Form 2166-8-1 (see DA Pam 623-3 for procedural guidance).

(3) *End of the rating period.* 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.

3-7. Rater

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

a. For officer evaluation reports.

(1) *Beginning of the rating period.* Shortly after the rated officer assumes his or her duties, the rater will provide him or her copies of the rater's and senior rater's support forms (or equivalent), mission, and/or objectives. This action ensures the rated officer knows his or her rating chain and has the necessary input to properly determine and prioritize responsibilities and performance objectives.

(a) The rater will conduct a face-to-face counseling session with the rated officer within the first 30 days of the rating period. This initial discussion will focus on duties, responsibilities, and performance objectives of the rated officer. While correspondence and telephone conversations may be used as an alternative because of geographic separation, these will be followed by a face-to-face discussion between the rated officer and rater at the earliest opportunity. Simply requiring the rated officer to submit written performance objectives on DA Form 67-9-1 (or equivalent) at the beginning of the rating period without a follow-up face-to-face meeting is an unacceptable shortcut of this provision.

(b) For a rated officer serving under dual supervision (para 2-22), the rater will ensure that a rated officer is notified of the additional chain of supervision. An officer acting as the additional rating official in a dual supervision situation

will also assume the appropriate responsibilities of the rater in providing a copy of his or her support form and developing the separate DA Form 67-9-1 (or equivalent).

(c) For DA Form 67-9-1, see DA Pam 623-3 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 (or equivalent) in preparing support form objectives with the rater.

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

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

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

(c) Raters are required to articulate their developmental counseling responsibilities, as major performance objectives, on their DA Form 67-9-1, part IV, block b (or equivalent).

(3) *End of the rating period.* The rater will review the final DA Form 67-9-1 (or equivalent) when preparing DA Form 67-9. Afterwards, he or she will initial and date the form to acknowledge the review. The rater will include the duty description from the rated officer's final OER support form (or equivalent) and may include performance-related information. However, the choice of what to enter on the OER is ultimately up to the rater.

(a) The rater is responsible for completing parts I, II, III, IV, and V of the OER, including the APFT performance entry and date and the height and weight entry with verification of compliance in part IV, block c (or an explanation of missing APFT and/or height and weight entries) (see DA Pam 623-3 for procedural guidance).

(b) 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, and 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.

(c) Part V will be an assessment of the rated officer's performance and potential during the rating period.

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 to that of his or her contemporaries. Assessment of potential applies to all officers, regardless of their opportunity to be selected for higher positions or grades; it does not take into account such factors as impending release from active duty or retirement; this assessment is continually changing and is reserved for HQDA.

(d) For ACC CPTs, the rater will indicate a functional category recommendation in part V, block d, using the electronic DA Form 67-9 ("My Forms" Portal on AKO). Rated officers may provide input on a desired functional category during counseling sessions.

Note. For USAR and ARNG CPTs, no functional category data will be entered.

(e) Raters will verify if rated officers have initiated or completed a multi-source assessment and feedback (MSAF) in accordance with AR 350-1 and will make a specific comment indicating such in part V, block b of the OER. The last statement in part V, block b of the OER will indicate "The rated officer has completed or initiated an Army multi-source assessment and feedback as required by AR 350-1." Rating officials are reminded that the MSAF is a self-assessment tool. Although acknowledgment on the OER that a rated officer has initiated or completed an MSAF is required, the results of the MSAF will not be used as part of the formal evaluation. If a multi-source assessment has not been initiated or completed, no comment will be entered.

(f) The rater will forward to the senior rater (or intermediate rater, if applicable) the DA Form 67-9-1 (or equivalent) and DA Form 67-9 with his or her portions completed.

b. For noncommissioned officer evaluation reports.

(1) *Beginning of the rating period.* At the beginning of the rating period, the rater will inform the rated NCO of the complete rating chain and will ensure that the correct rating chain is recorded on DA Form 2166-8-1. Raters will use this form to prepare for, conduct, and record results of performance counseling with rated NCOs. Its use is mandatory for counseling all NCOs, CPL through CSM. The purpose of DA Form 2166-8-1 is to improve performance counseling by providing structure and discipline to the counseling process. The rater will provide each rated NCO copies of the rater's and senior rater's support or counseling forms.

(a) The rater will conduct a face-to-face counseling session with the rated NCO within the first 30 days of the rating period.

(b) This initial discussion will focus on duties, responsibilities, and performance objectives of the rated NCO. While correspondence and telephone conversations may be used as an alternative because of geographic separation, these will be followed by a face-to-face discussion between the rated NCO and rater at the earliest opportunity. Preparing and providing the rated NCO with a copy of his or her objectives on DA Form 2166-8-1 at the beginning of the rating period without a follow-up face-to-face meeting is an unacceptable shortcut of this provision.

(c) The rater will initiate DA Form 2166-8-1 to document goals and objectives discussed. The rater will use the official rating chain described in paragraph 2-3, and will ensure that the rating chain is published and kept up-to-date. The rater will provide a copy of the DA Form 2166-8 to the rated NCO and will notify him or her of any applicable changes to the rating chain.

(d) The rater will initial the DA Form 2166-8-1 and will forward it to the senior rater for his or her initials and verification of the face-to-face counseling.

(2) *During the rating period.* Raters of NCOs will maintain the working copy of DA Form 2166-8-1 and will update the form for mandatory counseling sessions.

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

(b) The rater is responsible for completing parts I, II, III, IV, V, block a, and V, block b of the NCOER including the APFT performance entry and date and the height and weight entry with verification of compliance in part IV, block c (or an explanation of missing APFT and/or height and weight entries) (see DA Pam 623-3 for procedural guidance).

(c) The rater will assess the performance and potential of the rated NCO, SGT through CSM, using all reasonable means to prepare a fair and correct report that accurately reflects an evaluation of the NCO's duty performance, values, NCO responsibilities, and potential.

1. The rater will ensure the APFT and height and weight entries are entered in accordance with the procedural guidance in DA Pam 623-3.

2. Special care will be taken to ensure the specific bullet comments support the appropriate excellence, success, or needs improvement ratings in part IV, blocks a through f (DA Pam 623-3).

(3) *End of the rating period.* The rater will review the final DA Form 2166-8-1 when preparing DA Form 2166-8. The rater will include the Soldier's duty description from the rated NCO's final support or counseling form and may include performance-related information from the support or counseling form. However, the choice of what to enter on the NCOER is ultimately up to the rater.

(a) After the rater reviews the final DA Form 2166-8-1 he or she will sign and date the form to acknowledge the review.

(b) The rater will forward both the DA Form 2166-8 and the final DA Form 2166-8-1 to the senior rater to assist in his or her completion of the NCOER.

3-8. Intermediate rater (DA Form 67-9 only)

If an intermediate exists in the rating chain, he or she will receive a copy of the rated officer's OER support form (or equivalent) with the rated officer's goals and objectives at the beginning of the rating period and a completed support form (or equivalent), which includes the rated officer's contributions at the end of the rating period.

a. The intermediate rater will—

(1) Review the rated officer's final DA Form 67-9-1 (or equivalent) when preparing DA Form 67-9. The narrative in DA Form 67-9, part VI, may be based on the rated officer's final DA Form 67-9-1 (or equivalent).

(2) Complete DA Form 67-9, part VI (see DA Pam 623-3 for procedural guidance). This is the only part of the report completed by the intermediate rater and part VI will be an assessment of the officer's performance and potential during the rating period.

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

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

(3) Forward the final DA Form 67-9-1 (or equivalent) to the senior rater.

b. Refer to specific requirements for officers under dual supervision (para 2-22), chaplains (app C) and JAGC officers (app D), if applicable.

3-9. Senior rater

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

a. For officer evaluation reports.

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

(a) Review, approve, and initial the draft DA Form 67-9-1 (or equivalent) and, if applicable, the DA Form 67-9-1a.

(b) Ensure that DA Form 67-9-1 (or equivalent) and, if applicable, DA Form 67-9-1a are returned to the rater and rated officer.

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

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

(a) Review the completed DA Form 67-9-1 (or equivalent) at the time the OER is prepared. Afterwards, he or she will initial and date the form to acknowledge the review.

(b) Complete DA Form 67-9, parts VII, blocks a through d (see DA Pam 623-3 for procedural guidance).

1. In part VII, block b, the senior rater will make an assessment of the rated officer's potential compared to all officers of the same rank. This assessment should be based on officers the senior rater has previously senior rated and those in his or her current senior rater population. If the potential assessment is consistent with the majority of officers in that grade, the senior rater will "X" the "center of mass" (COM) box. If the rated officer's potential exceeds that of the majority of officers in the senior rater's population for that rank, the senior rater will "X" either the "above center of mass" (ACOM) or COM box.

Note. In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings in the ACOM box for a given rank. A report with an ACOM rating that causes a senior rater's profile to have 50 percent or more ACOM ratings will be processed with a COM HQDA electronically generated label (see DA Pam 623-3); however, it will be charged against the senior rater's profile as an ACOM report if it is unresolved, and a documented senior rater profile misfire will occur.

If the rated officer's potential is below the majority of officers in the senior rater's population for that rank and the senior rater believes the rated officer should be retained for further development, the senior rater will "X" the "below center of mass" (BCOM)-Retain box. If the rated officer's potential is below the majority of officers in the senior rater's population for that rank and the senior rater does not believe the rated officer should be retained in the Army, the senior rater will "X" the BCOM-Do Not Retain box.

2. Part VII, block b is completed on officers in ranks of 2LT through BG and warrant officers in ranks of WO1 through chief warrant officer four (CW4).

3. To ensure maximum rating flexibility when rating populations change or to preclude an ACOM box check from inadvertently being processed and profiled as a COM rating, senior raters will need to maintain a "cushion" in their percentage of ACOM assessments rather than keeping the percentage just below the 50 percent line.

4. Only one of the first four OERs received for processing at HQDA for any given grade may be rated as ACOM. All reports will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the report processes, based on the date of receipt.

5. Officers who are both promotable and serving in any documented position authorized for the next higher rank will have a "P" identifier with their rank on DA Form 67-9, part I. The "P" identifier indicates that the officer's evaluation report will be profiled (part VII, block b) with those of the next higher rank.

6. The narrative for part VII, block c may be based in part on the rated officer's final support form. However, the choice of what to enter on the OER is ultimately up to the senior rater.

7. The senior rater will identify successive duty positions for which the rated officer is best suited, focusing 3 to 5 years out.

Note. Three successive duty positions will be listed on OERs—to include retirement and "Relief for Cause" evaluation reports. An exception to this rule exists for "Relief for Cause" reports on which the rater indicates "do not promote" and the senior rater indicates a rating of "BCOM-Do Not Retain" — on these reports only, no successive duty positions are required (DA Pam 623-3).

8. For ACC CPTs, the senior rater will indicate a functional category recommendation in part VII, block d, using the electronic DA Form 67-9 ("My Forms" Portal on AKO). Rated officers may provide input on a desired functional category during counseling sessions.

Note. For USAR and ARNG CPTs, no functional category data will be entered.

(c) Initial the final DA Form 67-9-1 (or equivalent) to verify review and ensure it is returned to the rated officer.

(d) Forward the completed DA Form 67-9 to the officer for signature before processing to HQDA.

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

1. Officer evaluation reports are processed and profiled and the HQDA electronically generated labels are applied daily as reports are received, regardless of the “THRU” date of the report and the senior rater’s signature date.

2. A report failing to process in the sequence desired by the senior rater is not a basis for appealing the report. Proper sequencing of evaluation reports impacts Soldiers’ personnel actions, especially those concerning HQDA selection boards.

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

4. The Interactive Web Response System (IWRS) and the senior rater evaluation timeliness report, a component of the “Senior Rater Profile” report (DA Form 67–9–2), are tools to assist senior raters in fulfilling their responsibilities

b. For noncommissioned officer evaluation reports.

(1) *Beginning of the rating period.* The senior rater will review, approve, and initial a draft DA Form 2166–8–1 to verify the face-to-face counseling between the rater and the rated NCO. The senior rater will also ensure compliance with Army evaluation counseling requirements.

(2) *During the rating period.* The senior rater will—

(a) Obtain through a variety of means (for example, personal observation and/or various forms of communication from the rater, rated NCO, and/or others) information regarding the rated NCO’s duty performance and potential, and mentor subordinates, as appropriate.

(b) Initial the DA Form 2166–8–1 to verify follow-up counseling dates and ensure it is returned to the rater.

(3) *End of the rating period.* Review the final DA Form 2166–8–1 at the time the NCOER is prepared. This form will be routed with the NCOER through the review process. The senior rater is primarily responsible for evaluating the NCO’s potential and providing oversight of the evaluation process. The senior rater will—

(a) Prepare an honest, fair, and correct report evaluating the NCO’s duty performance and potential. Comments will support the performance and potential ratings in part V, blocks c through e (DA Pam 623–3) of NCOER.

(b) Enter a statement in part V, block e of the NCOER explaining the reason why counseling was not accomplished when counseling was not completed and counseling dates are omitted from the form.

(c) Verify that specific bullet comments support the appropriate box checks in part IV, block a through part V, block a of the NCOER (DA Pam 623–3).

(d) Initial the DA Form 2166–8–1 and ensure it is returned to the rater when the completed NCOER is forwarded to HQDA.

(e) Ensure timely submission of reports, in the desired sequence, for processing at HQDA and filing in the rated NCO’s OMPF. The senior rater maintains responsibility for the evaluation report until it is filed in the OMPF.

3–10. Reviewer (DA Form 2166–8)

The reviewer has the overarching role of validating the accuracy of NCOERs and instilling fairness within the evaluation process. Other review or supplementary review requirements apply to OERs and AERs (paras 2–16, 2–17, 2–18, and 3–55 and DA Pam 623–3). The reviewer will—

a. Ensure that evaluations are rendered by the proper rater and senior rater (in accordance with the established rating scheme) and they are clear, consistent, and just, based on known facts.

(1) When the reviewer determines that the rater and/or senior rater have not evaluated the rated NCO in an appropriate 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) The reviewer may not direct the rater and/or senior rater to change an evaluation believed to be an honest assessment.

b. Indicate concurrence or nonconcurrence with the rater and/or senior rater by annotating the appropriate box with an “X” in part II.

(1) If the rater and/or senior rater acknowledge a discrepancy and revise the NCOER so the reviewer agrees with the evaluation, the reviewer will check the “Concur” box in part II.

(2) If the rater and/or senior rater fail(s) to acknowledge a discrepancy and indicate(s) that the evaluations reflect honest opinions, the reviewer checks the “Nonconcur” box in part II. The reviewer will provide a nonconcurrence memorandum (fig 2–4) as an enclosure to the NCOER to clarify the situation and render his or her opinion regarding the rated NCO’s performance and potential evaluations.

Section IV

Senior Rater Profile Report and Senior Rater Evaluation Timeliness Report

3–11. “Senior Rater Profile” report (DA Form 67–9–2)

“Senior Rater Profile” reports track the rating history of each senior rater for officers of all components by rank (2LT through BG) and warrant officers by rank (WO1 and CW4). Senior raters do not maintain a profile on officers in the ranks of MG and warrant officers in the ranks of CW5. Retired officers recalled to active duty are not included in the

profile population (paras 3–2g and 3–32). HQDA makes this information in the profile and other administrative information available to the senior rater or senior rater’s designated representative using the “Senior Rater Profile” report. In addition, this report provides information on the timeliness of a senior rater’s OER and NCOER submissions to HQDA.

a. For officers in applicable ranks, the senior rater’s profile as reflected on the “Senior Rater Profile” report will—

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

(2) Emphasize the importance of a senior rater’s sequencing of evaluation report submissions. Within a senior rater’s profile, HQDA will always process reports daily in the order received, based on the date of receipt, regardless of the “THRU” date of the report. Evaluation reports received on the same day (batch processed) will be identically incremented against the senior rater’s profile.

(3) Provide information to HQDA selection boards and the Army leadership on the senior rater’s profile history as a means of disciplining the rating system. For example, senior raters must maintain an ACOM percentage of less than 50 percent (DA Pam 623–3). Only one ACOM is allowed for any of the first four evaluations by applicable rank.

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

(5) Follow the senior rater as long as he or she is eligible to provide senior rater evaluations to Army officers in applicable ranks.

(6) Be authorized for placement (first page summary) in the senior rater’s OMPF and may be updated annually or as necessary.

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

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

d. For assistance in managing “Senior Rater Profiles” and evaluation report sequencing, senior raters are encouraged to use the IWRS and the online “Senior Rater Profile” report application along with the senior rater evaluation timeliness report. The IWRS is designed to give visibility to senior raters and their designated representatives on the processing of evaluation reports for the senior rater’s profile. Users will need a common access card (CAC) and AKO login and password. The IWRS and “Senior Rater Profile” report are accessible at the USAHRC home page at <https://www.hrc.army.mil> under “Tools and Self Service”.

e. HQDA will attempt to contact senior raters with potential profile misfires (50 percent or more ACOM ratings for a particular rank) 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 of the senior rater on the OER.

f. The senior rater evaluation timeliness report resides as a section of the “Senior Rater Profile” report and has two parts—

(1) The timeliness report compiles information on Army evaluation reports submitted on rated Soldiers, after 1 January 2011, by rank.

Note. The timeliness report was reset Armywide on 1 January 2011.

It displays the total number of reports submitted, the total number of OERs and NCOERs submitted to HQDA on time (received no later than 90 days after the “THRU” date of the report), and the percentage of reports submitted to HQDA on time. This cover page is authorized for placement in the senior rater’s OMPF and can be updated annually, or as necessary.

Note. Data for ARNG NCOERs will not display on this report. Those evaluation reports are not processed at the HQDA level as they remain at the state level.

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

(3) A senior rater may view his or her evaluation timeliness report at any time using the online “Senior Rater Profile” report application, which is accessible from the same locations indicated for the IWRS in paragraph *d*, above.

3–12. “Senior Rater Profile” restarts

a. A senior rater may request to restart a profile in a particular grade only after—

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

(2) The senior rater has obtained permission or authorization from his or her senior rater.

(3) The senior rater has a documented misfire in the grade for restart. A documented misfire is an OER submitted to

HQDA with an ACOM box check on the OER (part VII, block b) which is not supported by the senior rater's profile for that grade and labeled by HQDA as a COM OER. The ACOM box check will still be reflected in the senior rater's profile numbers. While HQDA will attempt to contact the senior rater in an effort to resolve the potential misfire before it is documented, if the misfire cannot be resolved a disciplinary letter will be sent by HQDA to the senior rater of the senior rater on the OER.

b. To restart an entire profile, the profile for a single grade, or any portion of the profile, a senior rater will personally contact the Evaluation Systems and Policy office, USAHRC (app F). No restart will be made until the senior rater and the Evaluation Systems and Policy office agree to the effective date and grades to be affected.

c. Profile restarts will become effective the first date of a given month and will impact all OERs received after the agreed upon date. All incoming evaluation reports with senior rater signature dates before the effective date of the restart will process, profile, and be labeled against the old profile. All reports dated on or after the effective date of the profile restart will process, profile, and be labeled against the new profile. A report may have the wrong profile applied if the senior rater manually signs an OER and an arbitrary date is entered erroneously by the senior rater's representative or administrative office. This procedure does not determine the sequencing of OERs in the senior rater's profile. DA Pam 623-3 discusses how reports are processed and "Senior Rater Profiles" are determined.

Section V

Academic Evaluation Reports, Roles and Responsibilities

3-13. 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 his or her responsibilities.
- c. Reports are properly prepared.
- d. Each rating official knows how the students performed.
- e. Each student receives a copy of the completed AER.
- f. Referred reports (DA Pam 623-3) are provided to the student for acknowledgment and comment before being sent to HQDA for processing to completion.
- g. Schools submit completed AERs to the appropriate address at HQDA to arrive within 90 days after the "THRU" date of the report.
- h. The APFT is administered during professional military education and functional training courses for which it is a course graduation requirement.
- i. Completed AERs are filed in the rated Soldier's OMPF.

3-14. Service school academic evaluation report (DA Form 1059)

This type of AER is used to document the performance, accomplishments, potential, and limitations of Soldiers while attending military schools and courses of instruction or training. The reporting official will be responsible for the qualitative and quantitative assessment of students' abilities and the accuracy of the information in the completed AER. (The time period covered by an AER is counted as nonrated time on the OER or NCOER covering the same period (para 3-33).) DA Form 1059 is also discussed in paragraph 3-49 and DA Pam 623-3.

a. *Counseling requirements.* Academic performance counseling for Soldiers attending Service schools or military courses of instruction or training will be conducted in accordance with procedures established at the local level by the commandant of the school or the CG, TRADOC.

b. *Annual reporting requirement.* The preparation of DA Form 1059 is required annually for schools that are longer than 12 months in duration under AR 350-1.

(1) An interim report will be prepared 12 months (1 calendar year) after the beginning of the training program to document the student's progress at that time.

(2) An additional report will be prepared every 12 months thereafter, or upon completion of the training, whichever occurs first. A final report will be prepared and submitted to HQDA (AHRC-PDV-ER) to arrive no later than 90 days after the completion or termination of training (address in app F).

Note. AERs prepared using the Army Training Requirements and Resources System (ATRRS) DA Form 1059 Preparation Application may be submitted electronically to HQDA; these AERs will be visible in the IWRs. For more information on the ATRRS application, go to the ATRRS Web page at <https://www.atrrs.army.mil> or e-mail the ATRRS Help Desk at ahelp@asmr.com.

(3) As an exception, one AER will be used for courses that are longer than 12 months but no more than 15 months in duration. The AER will cover the entire course length.

c. *Army physical fitness test and height and weight entries.* Soldiers attending institutional training courses (including officer and NCO educational system courses and functional courses in AR 350-1) are expected to meet the Army's physical fitness and height and weight standards. All AERs for professional military education courses beyond initial military training that are 60 days or longer require an APFT and height and weight screening (body fat composition

compliance in accordance with AR 600–9) and the APFT and height and weight results will be entered on the AER (DA Pam 623–3 provides procedural guidance).

d. Uncompleted course requirement. For students who are released from, or resign from, a course early through no fault of their own, approved retirement, or resignation from military service, concise details about the early release will be explained in the rater’s narrative (DA Pam 623–3).

e. Active duty personnel.

(1) Commandants of Army (or other DOD branch) schools (also known as “Service schools”) and NCO academies will be responsible for preparing DA Form 1059 and submitting them to HQDA (or appropriate headquarters) to arrive no later than 90 days after the student’s graduation or termination from the school or academy (see paras 3–33 and 3–49). In preparing these reports, all significant information that can be evaluated will be reported. The same care and attention will be exercised in preparing AERs as is exercised in preparing OERs and NCOERs.

(2) School commandants or training division or BDE CDRs will ensure that AER comments are based on observation of a student’s qualities, strengths, weaknesses, deficiencies, and overall performance.

(3) Appropriate evaluation reports will be submitted for Soldiers assigned a principal duty before the start of an AER-producing course, between courses, or after a course. OERs will be prepared for all officers, and NCOERs will be prepared for all NCOs, if appropriate, whose principal duties are other than a student. They will be submitted under the provisions of this regulation.

(4) For AMEDD schools, see appendix E in addition to paragraphs 3–26 through 3–28.

(5) Schools will submit AERs to HQDA (or the appropriate headquarters) by mail or e-mail, until electronic submission capability is available, for inclusion in Soldiers’ OMPFs (see app F for address and contact information).

f. Reserve component personnel not on active duty.

(1) The Service school commandant and training division or BDE CDRs will ensure an AER is prepared for students under the following criteria:

(a) Successful course completion.

(b) Unsatisfactory course completion, including termination or failure to complete the course.

(c) For all USAR personnel who attend—

1. A formal resident course of full-time active duty for training (ADT) and annual training (AT).

2. Nonresident courses on inactive duty training (IDT).

(d) Academic evaluation reports are not authorized for USAR or ARNG personnel participating in—

1. Senior reserve component (RC) officer course.

2. Enlisted IDT.

3. United States Military Academy Preparatory School.

4. Officer Candidate School (OCS).

5. Refresher courses of less than 80 hours.

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

(2) The parent USAR school commandant and training division or BDE CDRs will ensure an AER is prepared for each student in a USAR school or training division course. The report will be prepared under the criteria in paragraph 3–14, 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. The completed AER will be forwarded to HQDA by mail (or distributed to HQDA using the ATRRS, if the AER was prepared using the ATRRS DA Form 1059 preparation application) for processing and inclusion in the Soldier’s OMPF (see app F for address and contact information).

g. All noncommissioned officer academies. A DA Form 87 (Certificate of Training) will be awarded to Soldiers who complete the Advanced Leaders Course (ALC) common curriculum (phase 1). A DA Form 1059 is not awarded to Soldiers unless there is no ALC technical phase for a Soldier’s MOS.

3–15. Civilian institution academic evaluation report (DA Form 1059–1)

This type of AER is rendered for Soldiers who attend a civilian education, medical, or industrial institution. Specific responsibilities for these reports are listed below. The U.S. Army Soldier Support Center is responsible for initiating DA Form 1059–1 for active Army Soldiers attending schooling at a civilian institution on a permanent change of station (PCS) of 20 weeks or more (AR 350–1, AR 621–1, and AR 621–7).

Note. The time period covered by an AER is counted as nonrated time on the OER or NCOER covering the same period (para 3–33).

a. Academic evaluation report performance counseling for Soldiers attending a civilian educational, medical, or industrial institution will be conducted in accordance with procedures established at the local level by the dean of the institution or appropriate civilian official.

b. Appropriate evaluation reports will be submitted prior to officers attending schooling at civilian institutions.

c. The HQDA advanced civil schooling office (see app F) 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 except as noted below:

(1) Soldiers attending courses in long-term civilian education programs of more than 12 months under AR 351–23, will receive a DA Form 1059–1 as follows:

(a) An interim report will be prepared 12 months (1 calendar year) after the beginning of the training program to document the student’s progress at that time.

(b) An additional report will be prepared every 12 months thereafter, or upon completion of the training, whichever occurs first. A final report will be prepared and submitted to USAHRC (AHRC–OPL–L) (address in app F) to arrive no later than 90 days after the completion or termination of training.

(c) In cases where a Soldier is terminated from a training program, concise details about the reason for the termination will be documented in the narrative prepared by the civilian institution.

(2) As an exception, one AER will be used for courses that are longer than 12 months but no more than 15 months in duration. The AER will cover the entire course length.

(3) Soldiers participating in a doctoral degree program will receive a DA Form 1059–1 every 12 months after the beginning of the training program.

(4) Soldiers who graduated from law school under The Judge Advocate General’s (TJAG’s) Funded Legal Education Program (FLEP) (AR 27–1, chap 14) will forward two copies of all law school grade transcripts and evidence that a law degree was conferred to Headquarters, Department of the Army (DAJA–PT), Personnel, Plans, and Training Office, 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 (see para 3–52 and app D regarding civilian education of JAGC officers).

(5) See appendix E regarding civilian education of AMEDD officers.

(6) Unless otherwise stated, AERs completed by the institution and transcripts will be submitted to USAHRC (AHRC–OPL–L) (address in app F).

d. The installation education services 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 the completion of all requirements for the degree. This report will be forwarded to HQDA (address in app F) for inclusion in the student’s OMPF. An official transcript of grades will be attached to the AER before submitting the report.

Section VI Restrictions

3–16. Evaluation parameters

Rating officials’ evaluation of a rated Soldier will be limited to the dates included in the rating period of an evaluation report.

a. Each evaluation report will be an individual stand-alone evaluation of the rated Soldier for a specific rating period. A report will not refer to performance or incidents occurring before or after the period covered or during periods of nonrated time. The determination of whether an incident occurred during the period covered will be based on the date of the actual incident or performance; it will not be based on the date of any subsequent acts, such as the date of its discovery, a confession, or finding of guilt, or the completion of an investigation. Guidance concerning modification of previously submitted OERs is in paragraph 3–36.

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

(1) When “Relief for Cause” evaluation reports are based on information pertaining to a previous reporting period (for example, relief of a Soldier found to be involved in some illegal activity during a previous reporting period), they may refer to the prior rating period to explain the reasons for relief (paras 3–54 and 3–55).

(2) When the most recent APFT performance or profile data occurred prior to the beginning date of the report (within 12 months of the “THRU” date of the report). This exception is allowed in order to comply with APFT requirements (see DA Pam 623–3).

3–17. Comments

a. Comments will not exceed the space provided on DA Form 67–9, DA Form 2166–8, DA Form 1059, or DA Form 1059–1. Additionally, comments must pertain exclusively to the rating period of the report; comments related to nonrated periods will not be included (that is, schooling, duties performed while suspended, and so forth). Awards and/or special recognition received during the rating period may be cited in evaluation comments (for example, “received the Humanitarian Service Medal” or “named the NCO of the Year”); however, comments related to scholastic achievements are limited to DA Form 1059 and DA Form 1059–1. See paragraph 3–34 for the exceptions pertaining to Warrior transition unit (WTU) Soldiers who are performing duty in addition to their healing mission.

b. In preparing their comments, rating officials will convey a precise but detailed evaluation to communicate a

meaningful description of a Soldier's performance and potential. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision.

c. Rating officials may consider including in their comments the degree of professionalism demonstrated by the rated Soldier in his or her particular area of expertise. This is particularly pertinent in assessments of specialty branch officers (Chaplain's Corps, JAGC, and AMEDD) and those required to maintain certain credentialing or certification standards, foreign language skills, and high-level security clearances.

d. Authorized abbreviations, brevity codes, and/or acronyms found in AR 25-52 may be used in rating officials' comments. However, other abbreviations, brevity codes, and/or acronyms must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the abbreviation, brevity code, and/or acronym may be used alone. The use of abbreviations, brevity codes, and/or acronyms will be limited for clarity of content.

3-18. Prohibited narrative techniques

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

- a.* Brief, unqualified superlatives or phrases, particularly if they may be considered trite.
- b.* Too brief comments, excessive use of technical acronyms, or phrases not commonly recognized. These frequently need to be interpreted by selection boards and career managers. If they are not correctly interpreted, the best interests of the Army and the rated Soldier are not served.
- c.* Bullet comments.
 - (1) Appropriate bullet comments are required for NCOERs.
 - (2) Bullet comments are not acceptable for OERs or AERs.
- d.* Any technique aimed at making specific words, phrases, or sentences stand out from the rest of the narrative, including, but not limited to the following:
 - (1) Underlining.
 - (2) Excessive use of capital letters.
 - (3) Unnecessary quotation marks.
 - (4) Repeated use of exclamation points.
 - (5) Wide spacing between selected words, phrases, bullets, or sentences to include double spacing within a paragraph or between paragraphs. Rating officials are not authorized any double spacing between performance and potential comments in OERs (parts V, block b and VII, block c).
 - (6) Italics, bold text, and similar font techniques.
 - (7) Compressed type or spacing.
 - (8) Handwritten comments. An exception is made for DA Form 67-9 OER, parts V, block b; V, block c; and VII, block c for evaluations on MGs and CW5s, which may be handwritten in black ink. In order to be processed and placed on the Soldier'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 a standard convention of English writing style (OER only).
 - (10) Inappropriate references to box checks (OERs) (for example, a senior rater may not refer to the box check that would have been given to a rated officer if his or her profile supported it, or characterization of the rated officer as a "top box" or "above center of mass" officer).
 - (11) Specific selection board-type language. Examples of this include, "definitely a 6+ Soldier."

3-19. Unproven derogatory information

Any mention of unproven derogatory information in an evaluation report can become an appealable matter if later the derogatory information is unfounded.

- a.* No reference will be made to an incomplete investigation (formal or informal) concerning a Soldier.
- b.* References will be made only to actions or investigations that have been processed to completion, adjudicated, and had final action taken before submitting an evaluation report to HQDA. For example, rating officials are not prohibited from commenting on a court-martial (judicial), if completed, but the comments should focus on the behavior that led to the court-martial rather than the court-martial itself. If the rated Soldier is 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 Soldier may later be absolved.
- d.* Any verified derogatory information may be entered on an evaluation report. This is true whether the rated Soldier is under investigation, flagged, or awaiting trial. While the fact that a rated Soldier is under investigation or on trial may not be mentioned in an evaluation until the investigation or trial is completed, this does not preclude the rating chain's reference to verified derogatory information. For example, when an interim report with verified

information is made available to a CDR, the verified information may be included in an OER, NCOER, or AER. For all reports, if previously reported information later proves to be incorrect or erroneous, the Soldier will be notified and advised of the right to appeal the report in accordance with chapter 4.

e. Reports will not be delayed to await the outcome of a trial or investigation unless the rated Soldier has been removed from his or her position and is in a suspended status (paras 3–54 and 3–55). Upon completion of the trial or investigation, processing of evaluation reports will resume. Evaluation reports will be completed when due and will contain what information is verified at the time of the “THRU” date of the report.

f. For OERs, when previously unverified derogatory information is later verified, an addendum will be prepared and forwarded to HQDA in accordance with paragraphs 3–36 and 3–38. Rating officials will initiate such an 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 the completion of the investigation, imposition of punishment, or verification of the information (see DA Pam 623–3 for instructions on how to prepare an addendum memorandum).

3–20. Prohibited comments

Comments that are prohibited will not be included in evaluation reports.

a. The use of inappropriate or arbitrary remarks or comments that draw attention to differences relating to race, color, religion, gender, age, or national origin is prohibited. Subjective evaluation of a rated Soldier will not reflect a rating official’s personal bias or prejudice (AR 600–20).

b. When nonjudicial punishment is given and filed in the restricted portion of the OMPF or locally under AR 27–10, AR 600–8–104, and AR 600–37 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, which served as the basis for the nonjudicial punishment.

c. Negative comments about a Soldier making protected communications (for example, communications to an Inspector General, member of Congress, or a member of the chain of command designated to receive protected communications) will not be made in an evaluation report. Such comments could be perceived as a retaliatory action. Military members, in accordance with 10 USC 1034, are not restricted from communicating with these individuals.

d. No remarks about nonrated periods of time or performance or incidents that occurred before or after the rating period will be made on an evaluation report except—

(1) “Relief for Cause” evaluation reports based on information pertaining to a previous reporting period. For example, a rating official may relieve a Soldier found to be involved in some illegal activity during a previous reporting period. Reference to the prior rating period may be warranted to explain the reasons for relief (paras 3–54 and 3–55).

(2) When the most recent APFT performance or profile data occurred prior to the beginning date of the report (within 12 months of the “THRU” date). This exception allows the rated Soldier to comply with APFT and height and weight requirements (see DA Pam 623–3).

(3) When a Soldier assigned to a WTU is assigned under a valid rating chain and receives an evaluation report with a nonrated code “G” (para 3–34).

3–21. Comments about marital status and spouse

Only in rare instances is it appropriate to discuss the rated Soldier’s marital status when evaluating the performance and potential of a rated Soldier.

a. 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, education, or volunteer activities of a rated Soldier’s spouse. For example, statements such as the following will not be permitted: “Mr. Doe’s participation in post activities is limited by his civilian employment,” or “Mrs. Doe has made a significant contribution to our Soldiers’ morale through her caring participation on the hospital volunteer staff.”

c. There are limited circumstances involving actual and/or demonstrable impacts on the rated Soldier’s performance or conduct when comments containing 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 his 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.”

3–22. Classified evaluation reports

Procedures for processing, safeguarding, and accessing classified evaluation reports are unique because of the sensitivity of the information they contain.

a. Normally, evaluation reports will not contain classified information as defined in AR 380–5.

b. Classified evaluation reports require safeguarding and special processing to maintain the integrity of the report

classification. Exceptional cases requiring classification will contain downgrading instructions in accordance with AR 380–5. In addition, each section, part, paragraph, subparagraph, or similar portion will be marked to show the level of classification of the information in it. Unclassified sections will be marked unclassified (DODD 5200.2). The evaluation report will be marked so that doubt is eliminated as to which parts contain or reveal classified information.

c. Access to copies of completed classified evaluation reports is restricted to selected HQDA-level personnel (para 1–12). Local units should maintain copies of submitted evaluation reports in accordance with AR 380–5.

3–23. Prisoners of war

Evaluation reports will not be rendered on rated Soldiers for periods during which they are prisoners of war. The effect, if any, of a rated Soldier’s status as a prisoner of war on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under Uniform Code of Military Justice (UCMJ) will be governed by the laws and regulations pertaining to the particular action.

3–24. Participation in the Army Substance Abuse Program or a mental health program

a. A rated Soldier who voluntarily enters the Army Substance Abuse Program (ASAP) for an alcohol or drug abuse problem that has not been detected by the chain of command will not be penalized by mention of ASAP participation in an evaluation report. This would discourage voluntary entry in ASAP upon self-recognition of the need for help. In those cases where alcohol and drug abuse has resulted in substandard performance and/or disciplinary problems, subsequent voluntary entry in ASAP does not preclude rating officials from recording substandard performance or disciplinary problems on an evaluation report. Rating officials cannot use information derived from ASAP records in their evaluations. Once a Soldier has been identified in an evaluation report as having an alcohol or drug abuse problem based on information obtained independently of ASAP—

(1) Voluntary entry into ASAP or successful rehabilitation will be mentioned only as a factor to the rated Soldier’s credit.

(2) The rating chain should note the status of a rated Soldier’s rehabilitation progress or outcome in the current evaluation or in later reports.

b. A rated Soldier who voluntarily seeks mental health counseling or is entered into a mental health care program for behavioral health issues that have not been detected by the chain of command will not be penalized by mention of this participation in a behavioral health treatment program in an evaluation report. Doing so would discourage self-referral to obtain assistance from health care professionals when problems exist. In accordance with the Army’s behavioral health goals, leaders should support and encourage Soldiers to obtain the necessary assistance for behavioral health issues (para 3–5b(2)(c)). This lessens the stigma associated with issues that warrant psychological care and treatment. Behavioral health issues include a variety of unusual or inappropriate behaviors that may be associated with post-traumatic stress disorder, mild traumatic brain injuries, combat stress or other stress, and/or suicidal thoughts or tendencies. Once a Soldier has been identified in an evaluation report as having mental health issues based on information obtained independently of any information from health care personnel—

(1) Voluntary entry into mental health counseling or a mental health care program, or evidence of successful treatment to remedy the original behavioral health issue, will be mentioned as a factor to the rated Soldier’s credit.

(2) The rating chain should note the status of a rated Soldier’s behavioral health improvement and/or maintenance of an improved status in the evaluation report covering the period during which the Soldier’s status improved.

3–25. Evaluation of adverse actions

Adverse actions encompass a variety of situations that are not in accordance with the Army Values, acceptable leadership actions, skills, attributes, and/or good order and discipline, which need to be addressed appropriately in evaluation reports.

a. In addition to addressing the special interest items mentioned in paragraph 3–5b(2) in the counseling and evaluation processes, AR 600–20 allows that the following items may be mentioned in a Soldier’s evaluation report, when substantiated by a completed command or other official investigation (for example, CDR’s or Commandant’s Inquiry, AR 15–6 investigation, EO investigation, and/or investigations by official military or civil authorities).

- (1) Criminal acts.
- (2) Conviction of a driving under the influence charge.
- (3) Acts of sexual misconduct or physical or mental abuse.
- (4) Inappropriate or unprofessional personal relationships.
- (5) Involvement in extremist organizations and/or activities.
- (6) Significant adverse deviations from EO or equal employment opportunity program goals, programs, and objectives; “Relief for Cause” from duty as EO advisor.
- (7) Acts of reprisal.
- (8) Behavior that is inconsistent or detrimental to good order, conduct, and discipline.
- (9) 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.

3-26. Referred evaluation reports (DA Form 67-9)

a. Officer evaluation reports with the following entries are referred, or adverse, evaluation reports. Such reports will be referred to the rated officer by the senior rater for acknowledgment and an opportunity to comment before being submitted to HQDA (see DA Pam 623-3 for detailed instructions and process for handling referred OER reports).

- (1) A "NO" in part IV, blocks a through b.
 - (2) A "FAIL" for the APFT in part IV, block c indicating noncompliance with the standards of AR 350-1; or a "NO" entry for the height and weight indicating noncompliance with the standards of AR 600-9.
 - (3) A performance and/or potential evaluation of "Unsatisfactory Performance/Do Not Promote" in part V, block a.
 - (4) A performance and potential evaluation of "Other," in part V, block a, where the required explanation has derogatory information.
 - (5) A potential evaluation of "Do Not Promote" in part VII, block a.
 - (6) A promotion potential evaluation of "Other" in part VII, block a where the required explanation has derogatory information.
 - (7) A promotion potential evaluation of "BCOM-Retain" or "BCOM-Do Not Retain" in part VII, block b.
 - (8) Any negative or derogatory comments in parts V, block b; V, block c; VI; or VII, block c.
- b. A "Relief for Cause" report submitted under the provisions of paragraph 3-54.

3-27. Referred academic evaluation reports (DA Form 1059 and DA Form 1059-1)

a. Academic evaluation reports with the following entries are referred, or adverse, evaluation reports. Such reports will be referred to the rated Soldier or student by the reviewing official for acknowledgment and an opportunity to comment before being submitted to HQDA (detailed instructions and process for handling referred AERs are in DA Pam 623-3).

- (1) Any "NO" response.
- (2) Any "UNSAT" rating.
- (3) A "Marginally Achieved Course Standards" rating.
- (4) A "Failed to Achieve Course Standards" rating. If this block in item 13 is checked, the preparing official will address (in item 16) whether the deficiency reflects on the character or behavior of the rated Soldier or lack of aptitude in certain areas. All "Failed to Achieve Course Standards" AERs require an additional review (para 2-19).
- (5) Any comments so derogatory that the report may have an adverse impact on the Soldier's career.
- (6) Any report with a "FAIL" for the APFT indicating noncompliance with the standards of AR 350-1 and/or a "NO" entry for the height and weight indicating noncompliance with the standards of AR 600-9 (if entries are applicable) (see DA Pam 623-3).

b. The AERs 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 Army 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 (DA Form 1059), or item 11 (DA Form 1059-1).

3-28. Referral process for officer evaluation reports and academic evaluation reports

The referral process ensures the rated Soldier knows that his or her OER (officer) or AER (officer or NCO) contains negative or derogatory information and affords him or her opportunity to sign the evaluation report and submit comments, if desired.

a. The senior rater will refer the OER or AER even if the rated Soldier is geographically separated from the senior rater or has departed the unit, organization, school, or course due to PCS, retirement, or release from active duty.

Note. Senior raters will, when possible, refer reports to rated Soldiers before departure from the unit, organization, school, or course.

b. If referral is required (paras 3-26 or 3-27), the senior rater will ensure an "X" is placed in the appropriate box on the completed report (that is, a report that has been signed and dated by the rating officials) in part II, block d (OER) or item 9 (AER).

(1) The senior rater will refer a copy of the completed report (a report that has been signed and dated by the rating officials) to the rated Soldier for acknowledgment and comment.

Note. A referral memorandum for digital signature and electronic forwarding is an enclosure in the electronic DA Form 67-9 ("My Forms" Portal on AKO) (alternatively, see DA Pam 623-3 for a referral memorandum example).

- (a) A reasonable suspense date will be given for the rated officer to complete this action.
- (b) In the referral memorandum, the rated officer will be advised that his or her comments do not constitute an appeal or request for a CDR's or Commandant's Inquiry.
- (c) Confirmed acknowledgment of the OER or AER referral is required (paras 3-26 or 3-27).

(2) Acceptable methods for referring an OER or AER to a rated Soldier after his or her departure include routing the referred OER or AER to him or her using “My Forms” Portal on AKO, e-mailing it as an attachment to an e-mail (preferably using a “read receipt” option), or mailing it by certified mail to a Soldier’s last disclosed mailing address.

(3) Documentation of the rated Soldier’s receipt or acknowledgment and/or annotation of actions taken to obtain acknowledgment are critical.

(4) The rated Soldier has the opportunity to sign the report and will decide whether or not he or she will submit comments, placing an “X” in the “YES” or “NO” box on the form.

Note. If the rated Soldier refuses to sign the evaluation report, the senior rater must enter the appropriate statement on the form (DA Pam 623–3) prior to submitting the report, without a signature, to HQDA (or to the State EPM for ARNG NCO AERs).

(5) On receipt of the rated officer’s acknowledgment (for example, receipt of a signed OER or AER, e-mail, signed certified mail document, signed acknowledgment statement accompanying memorandum, submission of signed comments, and so forth), the senior rater will enclose it, any written comments provided by the rated officer, and the referral memorandum, with the original OER or AER for forwarding to—

(a) The reviewer (if applicable).

(b) The BN or BDE S1, administrative office, or HQDA, as appropriate.

(c) The other rating officials if paragraph c(4), below, applies.

(6) In cases where the rated Soldier acknowledges receipt of the referred OER or AER, but refuses to sign the report, the senior rater will enter in part VII, block d, “The rated officer/NCO refused to sign.”

c. If comments are provided—

(1) Comments will be factual, concise, and limited to matters directly related to the evaluation on the OER or AER; rating officials may not rebut a rated Soldier’s referral comments. Extraneous or voluminous material, material already contained in the officer’s OMPF, and enclosures or attachments are not normally in the rated officer’s best interest and will be avoided.

(2) Any enclosures or attachments to rebuttal comments will be withdrawn at the unit or organization-level and returned to the rated Soldier before the OER or AER is forwarded to HQDA.

Note. AERs for ARNG NCOs will be forwarded to the State military personnel office versus HQDA (see apps F and H).

(3) The rated Soldier’s comments do not constitute an appeal. Appeals are processed separately as outlined in chapter 4. Likewise, the rated Soldier’s comments do not constitute a request for a CDR’s or Commandant’s Inquiry (chap 4, sec II). Such a request will be submitted separately by the rated Soldier.

(4) If the senior rater (OER) or reviewing official (AER) decides that the comments provide significant new facts about the rated Soldier’s performance that could affect the evaluation of the rated Soldier, he or she may refer the comments to the other rating officials, as appropriate. The rating officials, in turn, may reconsider their evaluations of the rated Soldier. The senior rater or reviewing official will not pressure or influence another rating official. Any rating official who elects to raise his or her evaluation as a result of this action may do so. However, the evaluation may not be lowered because of the rated Soldier’s comments. If the evaluation report is changed but still requires referral, the report will again be referred to the rated Soldier for acknowledgment and the opportunity to provide new comments, if desired. Only the latest acknowledgment (“YES” or NO” on evaluation report signed by the rated Soldier) and the rated Soldier’s comments, if submitted, will be forwarded to HQDA.

Note. AERs for ARNG NCOs will be forwarded to the State EPM versus HQDA (see apps F and H).

d. If the rated Soldier fails to respond within the given suspense period, or if certified mail sent to an officer’s last known forwarding address is returned indicating that the Soldier cannot be reached at that address, the senior rater will annotate on the referred OER or AER, “Rated officer was not available to sign.” When no signature appears on a referred OER or AER, the senior rater will prepare a memorandum as an enclosure to the OER or AER to document referral actions taken and whether or not there was acknowledgment of the rated officer (a copy of the returned certified mail document and/or e-mail referral/“read receipt” may be included, if used, as enclosures to this memorandum) for forwarding to—

(1) The supplementary reviewer, if applicable (see paras 2–17c and 2–19).

(2) The BN or BDE S1, administrative office, or HQDA, as appropriate.

3–29. Performance as a member of a court-martial or selection board

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

3–30. Performance as counsel

No rating official will give an unfavorable rating or comment regarding a rated Soldier because he or she zealously represented (as counsel) any accused or respondent before court-martial or administrative board proceedings.

3-31. Performance as an equal opportunity official

A Soldier serving as an EO officer, either as a principal or additional duty, will not be given an unfavorable rating if it is based solely on these items—

- a. Because of the level of enthusiasm and zeal for implementing the Army's EO Program.
- b. In retaliation for criticism of command policies and practices related to that program.

3-32. Recalled retired Soldiers

Soldiers who have returned to active duty following retirement provide valuable service as a result of their years of experience and expertise.

a. Retired Soldiers recalled to active duty are not eligible for evaluation reports because they have completed the professional development personnel life cycle function and do not compete for subsequent promotions. Therefore, no evaluation report submitted on a recalled retiree Soldier will be processed at HQDA. Rating chains can execute all aspects of the ERS as a communication and feedback tool through informal or unofficial performance counseling of recalled retired Soldiers on a local basis.

- b. Recalled retired Soldiers can serve as rating officials.

Section VII

Evaluation Report Preparation and Submission

3-33. Preparation and submission requirements

DA Pam 623-3 is the primary reference for procedural guidance on preparing evaluation reports.

a. *Evaluation report forms.* The forms listed below will be prepared according to procedures enumerated in DA Pam 623-3:

- (1) DA Form 67-9, 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. *Authorized forms.* Electronic applications producing OER, NCOER, or AER forms use form templates and form programs authorized by the Army Publishing Directorate.

(1) The most recent version of evaluation report forms found in the "My Forms" Portal on AKO will be used. This will allow for the proper transmission of reports through the "My Forms" Portal on AKO and will guarantee that the completed forms will be compatible with HQDA-level processing and document storage system requirements. Newer form versions have increased capabilities over older form versions, which will, at a designated time, be prohibited entry through the "My Forms" Portal on AKO.

(2) Where "My Forms" electronic form guidance and the guidance in this regulation and DA Pam 623-3 conflict, the policy guidance provided in this regulation and the procedural guidance provided in DA Pam 623-3 take precedence.

Note. For evaluation reports for a time period prior to the publication of this regulation, the authorized form and governing policy and procedural guidance at the time of the period covered by the report will be used, whenever possible.

c. *Continuous evaluation report history.* Generally, Soldiers will have a continuous rating history of sequential evaluation reports (OERs and NCOERs) documenting both rated and nonrated time. The periods covered on evaluation reports will not overlap. Reports submitted with "FROM" and/or "THRU" dates that overlap another reporting period will be placed in an "ON HOLD" status awaiting correction.

(1) Rated time encompasses the time a rated Soldier has been assigned under a valid rating chain for the purposes of counseling, guidance, and evaluation of his or her performance and potential.

(2) Nonrated time encompasses periods of time when a rated Soldier cannot be evaluated. These periods include a wide variety of circumstances when a Soldier is not performing duty in an assigned position under a valid rating chain. Qualifying periods of nonrated time are documented on evaluation report forms (DA Form 67-9 and DA Form 2166-8) using nonrated codes (DA Pam 623-3) and they become part of a Soldier's rating history. Comments on events or accomplishments during periods of nonrated time (such as periods of military schooling or training covered by an AER or DA Form 87) will not be made on OERs or NCOERs (see paras 3-16a and 3-17a).

(3) Gaps in a Soldier's evaluation report history may occur for various reasons. A majority of these gaps are acceptable, while others are unacceptable.

(a) Acceptable gaps between evaluation reports include periods when a Soldier was in a nonratable status when no evaluation report was warranted, such as a break in service.

Note. For USAR and ARNG Soldiers, periods in the IRR or ING are nonratable periods; therefore, these periods will appear as gaps in the evaluation report history.

(b) Unacceptable gaps are periods when the rated Soldier was in a status that warranted the preparation of an evaluation report but rating officials failed to render an evaluation report. Such gap times will be resolved by the rating chain responsible for completing the missing evaluation report. These times will not be covered as nonrated time on

any other evaluation report.

Note. For USAR Soldiers who fail to participate in battle assemblies, see paragraphs G-4 and G-5.

d. Nonrated time.

(1) If a rated Soldier has nonrated time that has not been accounted for on an evaluation report and the evaluation report following that nonrated time has already been completed at HQDA and posted to the Soldier's OMPF, a rating official on the report, the BN or BDE S1, or the administrative office may submit a request for an administrative correction (DA Pam 623-3) to the "FROM" date on the evaluation report to include the nonrated time in the period covered. The request should be submitted to the USAHRC, (AHRC-PDV-EA) (mailing and e-mail addresses in app F) asking that the evaluation report following the nonrated time be administratively corrected to reflect the missing nonrated time and nonrated codes. Administratively correcting the "FROM" date on an evaluation report may cause it to not follow the rules in AR 623-3 and DA Pam 623-3 and will be considered an exception to policy. The administratively amended evaluation report will be placed in the rated Soldier's OMPF and marked "Corrected Copy per HQDA Appeals Office," so the altered "FROM" date will be understood by future selection boards and when making career decisions.

(2) If a rated Soldier has nonrated time that has not been accounted for on an evaluation report and the subsequent report is being processed at HQDA, but has not yet been filed in the OMPF, the unit may request a change in the "FROM" date on the report (and the reason for submission, if applicable) to capture the missing nonrated time and/or nonrated code. A rating official on the report, the BN or BDE S1, or the administrative office may contact the Evaluation Systems & Policy Office (mailing and e-mail addresses in app F) to request administrative corrections to the report.

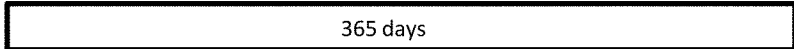
(3) If a Soldier has nonrated time that has not been accounted for on an evaluation report and the evaluation report following the nonrated time has not been submitted to HQDA, the current rater must reflect the nonrated time with the necessary nonrated codes and reason for submission on the Soldier's evaluation report prior to submission to HQDA.

(4) Extended evaluation reports that include any nonrated time periods since the "THRU" date of the previous report and prior to the establishment of a new rating relationship between the rated Soldier and the rater require the preparation of a code 10, "Extended Annual" evaluation report (para 3-42a). The number of rated months will not exceed 12 even though the period covered exceeds 1 calendar year. The "FROM" date for these reports will be the day after the "THRU" date of the last OER or NCOER with the rating period beginning the day the Soldier arrives at a new unit or position. The "THRU" date will be 1 calendar year after the arrival or assignment date. However, if an event occurs that requires the preparation of a report (for example, "Change of Rater") before 1 calendar year has elapsed, a report will be rendered with a "THRU" date that corresponds with the event. Standard reason-for-submission codes (for example, code 03, "Change of Rater", or code 04, "Change of Duty", and so forth) will apply on extended evaluation reports even though the period covered on the report may be more than 12 months. The "THRU" date will be determined by the rated Soldier's circumstances. Each Soldier's situation must be considered individually, just as each evaluation report must stand alone (fig 3-1).

(5) A rated Soldier may also receive an "Extended Annual" evaluation report under unique circumstances when he or she has served under multiple raters each with less than minimum rater qualifications to provide an evaluation at the time an "Annual/Extended Annual" evaluation report is due. The report will be rendered when the rated officer has served in the same duty position under the same rater for 90 days (120 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The "FROM" date on the "Extended Annual" report would be the day after the "THRU" date of the last evaluation report. The "THRU" date will include 90 rated days (120 rated days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). The nonrated code "Q" will be used for the nonrated periods under the unqualified raters.

Example 1 – Annual Report (without nonrated time)

THRU Date Last Report - 20090113
 FROM Date 20090114 THRU Date 20100113

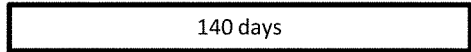


Soldier performs same duty under same rater for 1 calendar year (365 days or 366 days in a Leap Year); no qualifying periods of nonrated time

Type of Report: **Code 02 Annual**
 Period Covered: 20090114-20100113
 Rating Period: 20090114-20100113
 Number of Rated Months: 12
 Nonrated Codes: None

Example 2 – Change of Rater/Change of Duty Report (without nonrated time)

THRU Date Last Report - 20090113
 FROM Date 20090114 THRU Date 20090602



Rater departs due to PCS (change of rater); if rated Soldier's duty changes but he/she is still under the same rater (change of duty); no qualifying periods of nonrated time

Type of Report: **Code 03 Change of Rater/ Code 04 Change of Duty**
 Period Covered: 20090114-20090602
 Rating Period: 20090114-20090602
 Number of Rated Months: 5
 Nonrated Codes: None

Example 3 – Change of Rater Report (with school and return to same unit)

THRU Date Last Report - 20090113
 FROM Date 20090114 THRU Date 20090830



Soldier departs for military school on 20090220; Soldier attends military school (4 months) and receives AER for 20090224-20090626; Soldier returns to same unit 20090630; rated time continues under same rater; rater departs on PCS 20090830

Note: The in-transit time used in these examples is 3 days; periods of in-transit travel time may be longer or shorter in duration.

Type of Report: **Code 03 Change of Rater**
 Period Covered: 20090114-20090830
 Rating Period: 20090114-201090830
 Number of Rated Months: 3
 Nonrated Codes: S, I

Example 4 – Extended Annual Report (with school enroute to next assignment)

THRU Date Last Report - 20090113
 FROM Date 20090114 THRU Date 20110329

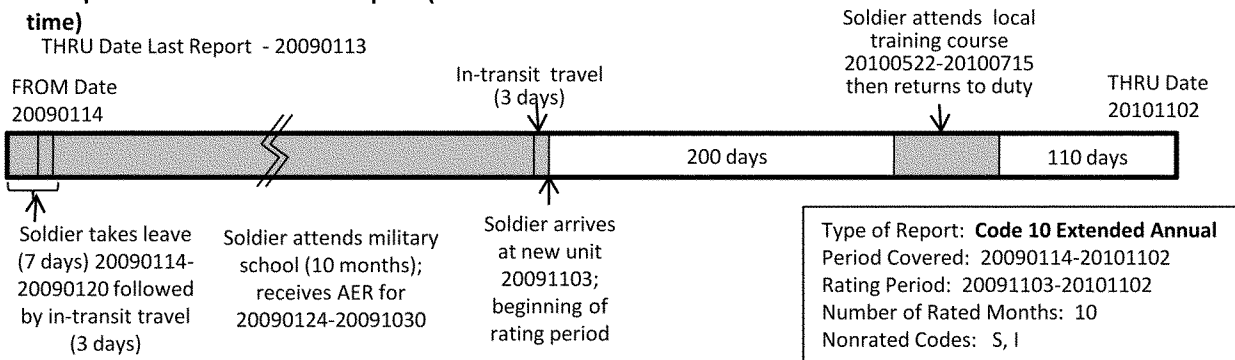


Minimum qualifications not met before Soldier departs on leave for 30 days (20090401-20090430); Soldier attends military school (10 months); receives AER for 20090504-20100326; Soldier arrives at new unit 20100330; beginning of rating period

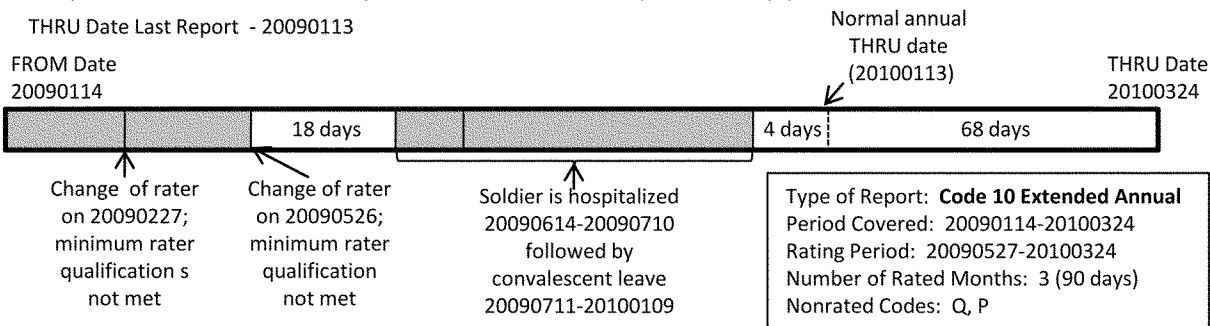
Type of Report: **Code 10 Extended Annual**
 Period Covered: 20090114-20110329
 Rating Period: 20100330-20110329
 Number of Rated Months: 12
 Nonrated Codes: Q, E, S, I

Figure 3-1. Examples of evaluation report timelines

Example 5 – Extended Annual Report (with less than 12 months rated time)



Example 6 – Extended Annual Report – OPTIONAL REPORT (90 rated days)



Example 7 – Extended Annual Report (newly-commissioned officer/newly-appointed warrant officer)

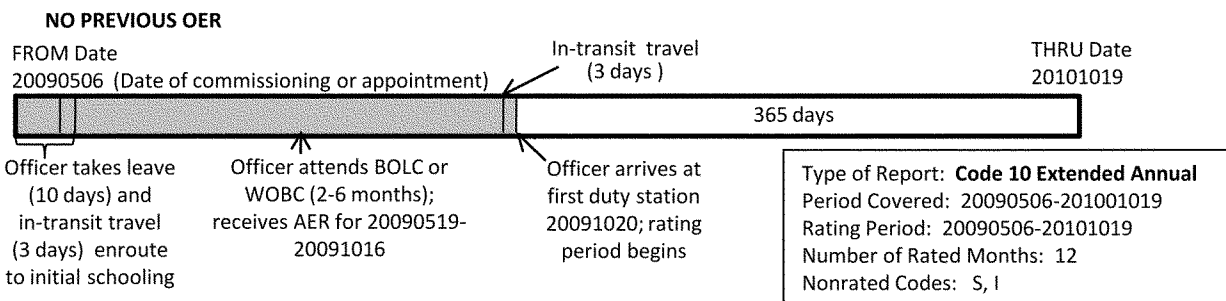


Figure 3–1. Examples of evaluation report timelines—continued

e. *Nonrated time statements.* CDRs should exercise due diligence in maintaining rating schemes and ensuring the rendering of reports that are due. As a result, requests for issuance of nonrated time statements should be minimized.

(1) Requests for the issuance of nonrated time statements will be submitted only for periods when an evaluation report should have been rendered but was not, and all efforts by the rated Soldier and his or her unit to obtain a report have been exhausted. Such requests will be reviewed on a case-by-case basis and may or may not be approved by HQDA.

(2) Requests for the issuance of nonrated time statements addressed to the approval authority and signed by the unit CDR, BN, BDE S1, or administrative office may be scanned and e-mailed to the Evaluation Systems & Policy Office. State clearly in the subject line of the e-mail that a request for issuance of a nonrated time statement is attached. Upon receipt, the request will be redirected to the appropriate office. To mail requests, address them to USAHRC (AHRC-PDV-EA) (address in app F). Again, each request will be adjudicated on a case-by-case basis.

Note. See figure 3–2 for a sample request for a nonrated time statement and figure 3–3 for a sample of an issued nonrated time statement (app H provides guidance on requests for nonrated time statements for ARNG Soldiers).



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

(Office Symbol)

(Date)

MEMORANDUM FOR *(Appropriate Agency – Appendix F)*

SUBJECT: Request for Issuance of Nonrated Time Statement for *(Rated Officer's Name, Rank, SSN, Report Period Covered)*

1. Please declare the period *(state FROM and THRU dates of period for which an evaluation report was due but not rendered)*.
2. *(Explain the steps taken to obtain the missing evaluation and any unique circumstances that prevented a reconstruction of the original report by the original rating officials.)*
3. Enclosed are orders identifying where *(rated Soldiers' name)* was assigned during the period to be declared nonrated.
4. Point of contact for this action is *(state name and contact information for this individual or the undersigned)*.

Encl(s)
as

*(Signature block of commander,
deputy commander, or adjutant)*

Figure 3–2. Sample format for a request for a nonrated time statement memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR RECORD

SUBJECT: Nonrated Time Statement

NAME: (Rated officer's name – Last, First, Middle Initial)

SSN: 123-45-6789 BR: GRADE:

PERIOD OF REPORT: YYYYMMDD to YYYYMMDD

UNIT/UIC: (Name of Unit, Organization, Station, ZIP Code, Major Command)/UIC)

DUTY TITLE: (Soldier's duty title) POSITION AOC/BR: (Officers) or
SSI/MOS: (Noncommissioned Officer)

RATED MONTHS: (# months) CODE/TYPE OF REPORT: (02 ANNUAL)

ACTION: Sample entries--*(An evaluation report for this period covered was not rendered. The period is declared nonrated.) – or –*
(An evaluation report missing from the rated officer's official military personnel file (OMPF) could not be reprocessed with a senior rater profile label due to the information no longer being available in the data system. For this reason, the period covered had to be declared as nonrated.) – or –
(An evaluation report for this period has been removed from the official military personnel file (OMPF))

(Signature block of Chief, Evaluation Appeals Branch or designated representative)

Figure 3–3. Sample format for an issued nonrated time statement

f. Periods of nonrated time and nonrated codes. Evaluation reports will indicate the appropriate nonrated codes for periods such as schooling, leave of 30 days or more, patient status, and so forth (see DA Pam 623–3).

Note. When a Soldier is serving in a different Army component, or in one of the Uniformed Services, the period will not be considered nonrated time as he or she will be evaluated under that component or Service.

Nonrated time will be subtracted from the period covered on evaluation reports and accounted for with the appropriate nonrated codes, as applicable. No comments on events that occurred during nonrated periods will be entered on

evaluation reports (see paras 1–8, 3–14 through 3–17, 3–33, 3–39, 3–49, 3–50, 3–54, and 3–55; table 3–1; and DA Pam 623–3).

g. Submission of evaluation reports (AKO). The Armywide standard for submitting evaluation reports to HQDA is electronic submission of completed, digitally signed evaluation reports on current versions of authorized electronic forms with authorized enclosures using the “My Forms” Portal on AKO at <https://myforms.ecms.army.mil/wps/portal>. A CAC with valid certificates is required to execute digital signatures on evaluation report forms.

Note. Evaluation reports, when printed, may include extraneous lines and spaces that do not appear on the digital form when viewed on a computer screen, but which may appear when the form is printed. Printing a copy of the evaluation report as a final edit will allow users or rating officials to eliminate these problems before submitting reports to HQDA.

h. Submission of evaluation reports (alternate). The alternative submission method is to mail reports in paper format with full SSNs for the rated Soldier and the senior rater, printed legibly, with full-page images, on one sheet of paper, front and back, head-to-head, or head-to-toe. A clear original evaluation report is required so legible copies of the report can be given to the rated Soldier and processed at HQDA. When it is necessary to produce a paper copy of an evaluation report for submission to HQDA, a copy with full (nine-digit) SSNs for the rated Soldier and the senior rater will be printed as indicated in paragraph *i*, below.

Note. See appendix F for addresses and contact information for mailing completed paper copies of evaluation reports and associated documents.

i. Printing reports. The following are basic requirements for printing evaluation reports for mailing reports:

- (1) Single document, double-sided (may be printed either head-to-head or head-to-toe).
- (2) Full nine-digit SSNs for the rated Soldier and the senior rater, as a minimum.
- (3) Without extraneous black lines or marks.
- (4) Full-sized document, as near as possible to 8 1/2 by 11 inches, with 1/2-inch margins.
- (5) Aligned straight on the page.
- (6) Framed on the page with all lines, edges, box checks, and numerical entries visible.
- (7) Balanced contrast between light background and dark fonts (using black and white printer).

j. Signatures. Digital signatures are the standard for evaluation reports; however, manual, handwritten, ink signatures are authorized under extreme circumstances. Digital signatures require the use of a CAC; digitally signed evaluation reports will be submitted to HQDA using the “My Forms” Portal on AKO. When digitally signing an evaluation report is not possible, an ink signature may be entered on a completed evaluation report (printed with full nine-digit SSNs for the rated Soldier and senior rater as a minimum) and mailed to USAHRC (AHRC–PDV–ER) (address in app F). As an exception, units deployed to a contingency theater of operations without the use of CAC or the capability to submit reports using the “My Forms” Portal on AKO are authorized to submit scanned copies of ink-signed reports from the deployed location to HQDA under the Evaluations-by-E-mail Attachment Program.

k. Authentication of evaluation reports. Proper sequencing of evaluation report authentication provides credibility in the evaluation process.

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

(2) The rated Soldier will always be the last individual to sign the evaluation report. The rated Soldier’s signature will verify the accuracy of the administrative data in part I, including the accuracy of the name and SSN on the evaluation report, rank and date of rank, branch or MOS data, period covered and nonrated time; the rating officials in part II; APFT and height and weight entries. This procedure ensures that the rated Soldier has seen the completed report. It also increases the 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 changed evaluation report as stated in paragraph (4)(b), below.

(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. Evaluation reports submitted prior to the “THRU” date will be rejected and returned; a new report with signatures that meet the requirement must be resubmitted to HQDA.

(a) 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.

(b) 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.

(c) 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.

(4) Signature formats will appear as follows:

(a) Rating officials and rated Soldiers will enter valid digital signatures on current versions of electronic forms, which allows highest level of identity assurance. Evaluation reports with invalid signatures will not be processed.

(b) Once an evaluation report has been completed and signed by the rated Soldier, any changes to report content afterward will invalidate the electronic signature approval of the rated Soldier and/or relevant rating official and will require the report to be revalidated (digitally signed with a verified or approved signature) by the individuals whose content was changed. Understanding that evaluations may be processed without the rated Soldier's electronic signature, when this situation occurs, the senior rater will ensure the rated Soldier has an opportunity to see the evaluation report if significant changes are made.

(c) For manually signed, paper copy evaluation reports, signatures will be in black or dark blue ink only.

(d) Submitting paper copy reports with a combination of manual signatures and electronic approval will be authorized as long as all requirements of this paragraph are met.

l. Timeliness of submission. Evaluation reports (OERs, NCOERs, and AERs) will be forwarded error-free to reach HQDA no later than 90 days after the "THRU" date of the report. The senior rater is responsible for ensuring the timely submission of OERs and NCOERs to HQDA; the reviewing official is responsible for the timely submission of AERs to HQDA. However, HQDA centralized selection, promotion, and school board requirements may mandate receipt by a date that is earlier than 90 days after the "THRU" date of the report. See appendix F for mailing address and contact information.

(1) CDRs and senior raters may establish local procedures to ensure timely and accurate evaluation report submission to HQDA as outlined in DA Pam 623-3. Failure to do so may result in evaluation reports not being processed to completion for filing in a Soldier's OMPF.

(2) Evaluation reports for selection board consideration must be received at HQDA no later than the receipt date established in the MILPER message announcing the board. The HQDA receipt of reports after the required receipt date, or past a suspense date directed by an HQDA selection board, will not be an automatic basis for appealing either the report or selection board results. HQDA will process any valid report to prevent disservice to the rated Soldier. "Complete the Record" evaluation reports not received at HQDA in a timely manner will not be processed and will be returned. The absence of a "Complete the Record" report in 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.

m. Monitoring submitted evaluations. The IWRS will be used as the primary tool to determine the processing status and other administrative information of all OERs and active Army and USAR NCOERs received at HQDA up to and including the load date shown in the upper left corner of the IWRS SSN entry screen. Once an evaluation report has processed to completion, it will be posted to a Soldier's OMPF (refer to para 3-11 for information on accessing the IWRS and the IWRS user's manual).

n. Evaluation report copies. 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 provided either in paper copy 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.

3-34. Special situations

The following guidance pertains to Soldiers in special situations during their military service.

a. Soldiers assigned to Warrior transition units.

(1) The majority of Soldiers assigned to WTUs have the primary mission of healing. DA Pam 623-3 identifies the nonrated time (code H) for healing.

(2) Soldiers assigned to WTUs who are in the care of a medical team and placed under a unit rating chain while performing duties in conjunction with their healing mission at the discretion of the WTU CDR may receive evaluation reports. DA Pam 623-3 identifies the nonrated time (code G) for healing with duty.

Note. The "G" code is unique. It applies if a WTU Soldier is assigned duties to perform and he or she has been assigned to a rating chain. This code will be used for Soldiers who, at the discretion of the WTU CDR, have been assigned duties and a rating chain whether or not an evaluation report is prepared. If an evaluation report is prepared, the time spent in this status will be included in the number of rated months; if no report is prepared, the time the Soldier spent in this status will be included in the number of nonrated months on his or her next OER or NCOER.

b. Newly commissioned officers and newly appointed warrant officers.

(1) A newly commissioned officer (2LT) or a newly appointed WO1 will not receive an OER before successfully completing BOLC or WOBC. The officer's commissioning or appointment date will be the "FROM" date on the first evaluation report (see paragraph (5), below, for exceptions).

(2) “FROM” date of the first OER begins his or her first OER period covered on the date of his or her commissioning or appointment.

(3) The time from the commissioning or appointment date (including completion of BOLC or WOBC) through the day before the officer arrives at the unit of assignment is nonrated time. This nonrated time and any other qualifying nonrated periods (DA Pam 632-3, tables 2-9 and 3-7, identify nonrated codes) qualifies the officer to receive a code 10, “Extended Annual” OER (para 3-42), unless another type of OER is required.

(4) The “THRU” date of the first OER (a code 10, “Extended Annual” OER) will be 12 months after arrival at the assigned unit if 1 calendar year has elapsed in the same position under the same rater. Only another event that requires the preparation of a report (for example, “Change of Rater” or “Change of Duty”) occurring prior to this date would change this “THRU” date.

(5) Exceptions to the above guidance apply to—

(a) USMA graduates who remain at West Point immediately following graduation as coaches and instructors prior to attending BOLC may receive OERs as an exception to policy prohibiting active duty officers from receiving OERs prior to completion of BOLC.

(b) JAGC officers (paras 3-51 and D-3).

(c) AMEDD officers (para E-2).

(d) United States Army Reserve TPU, DIMA, or drilling IRR officers of all branches (para G-5m).

3-35. Authorized enclosures

No enclosures, other than those listed below, will be attached to DA Form 67-9 when forwarded to HQDA. Unless specified otherwise, the final location for the required enclosures will be the rated Soldier’s OMPF.

a. Enclosures to officer evaluation reports.

(1) Supplementary reviewer’s statement, as authorized by paragraph 2-18 or 2-19 (see fig 2-1) (retained by HQDA only).

(2) Memorandum substantiating a rating official’s authority to evaluate (for example, announcement of assumption of command) (retained by HQDA only).

(3) HQDA-approved exception to policy authorizing a rating official to evaluate (retained by HQDA only).

(4) Senior rater’s letter of referral (retained by HQDA only) and the rated officer’s acknowledgment and comments regarding a referred report (para 3-28 and DA Pam 623-3).

(5) Rated Soldier’s comments for referred reports (OERs) (para 3-28c).

(6) Senior rater’s documentation to verify a Soldier’s receipt of a referred OER that is unsigned by the rated officer and/or missing comments when the rated officer elected to submit comments but failed to do so by the suspense date designated by the senior rater (para 3-28d) (retained by HQDA only).

(7) Documentation to verify the senior rater’s attempted referral of an evaluation report with no acknowledgment from or signature by the rated Soldier as of the suspense date designated by the senior rater.

(8) Statement from the individual directing a “Relief for Cause” if other than a rating official (para 3-54e and fig 3-4).



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Appropriate Agency – Appendix B)

SUBJECT: Waiver for 30-Day Minimum for Rendering a Relief for Cause NCOER

1. Under the provisions of AR 623-3, Evaluation Reporting System, paragraph 3-56f, I grant authority to waive the 30-day minimum rating period to render an NCOER based on (include pertinent substantiated information).
2. (Provide a POC and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)

(Signature block of first general officer in
chain of command or officer having general
court-martial jurisdiction over relieved NCO)

Figure 3–4. Sample format for a “Relief for Cause” directed by nonrating official memorandum

(9) CDR’s statement, as authorized by chapter 4, section II (retained by HQDA only).

(10) Statement from reviewer of a “Relief for Cause” report (paras 2–18 and 2–19 and fig 2–3).

(11) Other statements or documents directed by HQDA (retained by HQDA only).

Note. These will be referred to the rated officer for comment prior to being filed.

(12) Senior Army member’s approval of rater in Joint headquarters or activities (para 2–5b(3)(c) (retained by HQDA only).

(13) Approved Deputy Chief of Staff (DCS), G–1 waiver of compliance with AR 600–9 (retained by HQDA only).

(14) Enclosures that are part of the electronic DA Form 67-9 (“My Forms” Portal on AKO) will be completed at the enclosure tab and/or attached to the DA Form 67–9 as external documents before submitting it to HQDA. When executed in paper format, enclosures to OERs will be prepared on 8 1/2-by-11-inch paper and attached to the report. As a minimum, the enclosure will contain—

(a) The rated officer’s full name, nine-digit SSN, and rank.

(b) The period of report.

(c) The signature of the originator.

(d) The reason for the enclosure, citing the appropriate paragraph in this regulation, as applicable.

b. Enclosures to noncommissioned officer evaluation reports.

(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 II, block d is marked (see para 2–19c and fig 2–4). The reviewer’s nonconcurrency memorandum is part of the electronic DA Form 2166-8 (“My Forms” Portal on AKO), at the enclosures tab; paper copies of memoranda may be attached as an external document to the NCOER before submitting it to HQDA.


(b) Statement from person who directed “Relief for Cause” if other than rating official (see para 3–55e).

(c) Thirty-day waiver approval for a “Relief for Cause” NCOER (see para 3–55f).

(d) Approved DCS, G–1 waiver of compliance with AR 600–9 (retained by HQDA only).

(2) Enclosures that are part of the electronic DA Form 2166-8 ("My Forms" Portal on AKO) at the enclosures tab will be completed and/or attached to the DA Form 2166-8 as external documents before submitting it to HQDA. When executed in paper format, enclosures to NCOERs will be prepared on 8 1/2-by-11-inch paper and attached to the report. As a minimum, the enclosure will contain—

- (a) The rated NCO's full name, nine-digit SSN, and rank.
- (b) The period of the report.
- (c) Signature of the originator.
- (d) Reason for the enclosure, that is, reviewer nonconcurrency memorandum (fig 2-4), relieving official's statement (fig 3-4), or 30-day relief waiver (fig 3-5).



(Office Symbol)

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

(Date)

MEMORANDUM FOR *(Rated Soldier's Name, Rank, SSN, Period Covered)*

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

1. Under the provisions of AR 623-3, Evaluation Reporting System, paragraph 3-55 (OER)/paragraph 3-56 (NCOER), and AR 600-20, paragraph 2-17, I am relieving you of command/your duties as _____ *(include substantiated information describing the reason for the relief).*

2. *(Provide a POC name and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)*

(Signature block of relieving official)

Figure 3-5. Sample format for a 30-day minimum waiver for "Relief for Cause" noncommissioned officer evaluation report

c. *Enclosures to academic evaluation reports.* No enclosures, other than those listed below, will be attached to DA Form 1059 or DA Form 1059-1.

(1) Reviewer's letter of referral (retained by HQDA only) and the rated officer's acknowledgment and comments regarding a referred report (para 3-28 and DA Pam 623-3).

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

(3) Academic evaluation report letter issued by a fellowship sponsor when a rated Soldier is attending a resident fellowship at a civilian institution.

3-36. Modifications to previously submitted evaluation reports

This paragraph addresses requests for modifications to both completed evaluation reports that are filed in a Soldier's OMPF and reports that are being processed at HQDA prior to completion.

- a. An evaluation report accepted by HQDA and included in the official record of a rated Soldier is presumed to—
 - (1) Be administratively correct.

(2) Have been prepared by the properly designated rating officials who meet the minimum time and grade qualifications.

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

b. Requests for modifications to evaluation reports already posted to a Soldier's OMPF require use of the Evaluation Report Redress Program (chap 4 and DA Pam 623-3).

c. Requests that a completed evaluation report filed in a Soldier's OMPF be altered, withdrawn, or replaced with another report will not be honored if the request is based on the following:

(1) Statements from rating officials that they underestimated the rated Soldier.

(2) Statements from rating officials that they did not intend to assess the rated Soldier as they did.

(3) Requests that ratings be revised.

(4) Statements from rating officials claiming administrative oversight or typographical error in checking blocks on forms for professional competence, performance, or potential. Therefore, it is imperative that rating officials ensure evaluation reports (OERs, NCOERs, or AERs) are accurately recorded prior to signing.

(5) Statements from rating officials claiming OERs were improperly sequenced to HQDA by the unit or organization.

(6) A subsequent statement from a rating official that he or 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).

d. For reports that have been completed and filed in a Soldier's OMPF, substantive appeals will be submitted within 3 years of an OER, NCOER, or AER "THRU" date. Administrative appeals will be considered regardless of the period of the report; decisions will be made based on the regulation in effect at the time reports were rendered (para 4-8).

e. An exception to paragraph *c*, above, is granted for evaluation reports 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 different evaluation of the rated Soldier; the following actions will be accomplished in an effort to modify the evaluation report:

(a) If the report is an OER or AER, and the information would have resulted in a higher evaluation, the rated Soldier may appeal the report, and rating officials may provide input to support this point (DA Pam 623-3).

(b) If the report is an OER and the information would have resulted in a lower evaluation, rating officials may submit an addendum to be filed with the OER (DA Pam 623-3).

3-37. Newly received favorable information

Rating officials who become aware of information that would have resulted in a higher evaluation of a rated Soldier will take action to alter or remove the report in accordance with the appeal policy stated in chapter 4 and procedures in DA Pam 623-3.

a. Rating officials will specify the new information precisely, 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.

b. Addenda will not be used to report this type of information.

c. 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.

3-38. Newly received derogatory information for officer and academic evaluation reports

Rating officials will submit an addendum to a previously submitted OER or AER when they become aware of new information that would have resulted in a lower evaluation of the rated Soldier (officer for OERs, officer or NCO for AERs) after an evaluation report has been processed to the rated Soldier's OMPF and is a matter of record. (DA Pam 623-3 provides additional information on preparing addenda.)

a. The first CDR or commandant in the rated Soldier's current chain of command who receives new information about a rated Soldier will ensure that all members of the original rating chain for the OER or AER impacted by this new information are aware of it and are allowed to comment. If none of the original rating officials want to change or add to the original OER or AER, no addendum will be prepared.

b. The addendum will be prepared as shown in DA Pam 623-3. The addendum will contain the rated Soldier's name, grade, SSN, the type of report, and the period covered by the report to which it applies. It will also state that all members of the rating chain have been allowed to add or change comments, and it will list those who did not want to comment.

c. On completion of this action, the CDR or commandant will refer a copy of the addendum to the rated Soldier for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA (see address in app F).

Note. For ARNG Soldiers, the addendum will be forwarded to HQDA through the State AG. No changes will be made to the original report in the rated Soldier's OMPF, but the addendum will be appended to the OER or AER to which it has been prepared, along with any comments from the rated Soldier.)

d. If not a member of the original rating chain, the CDR's or commandant's responsibility is only to coordinate the submission of the addendum. The CDR or commandant may not add comments to the addendum unless he or she was a member of the original rating chain.

e. If any of the rating officials have been reassigned, released from active duty, incapacitated, or are otherwise unable to complete their part of an addendum prior to an investigation involving the rated Soldier, the CDR or commandant will so indicate. If the rated Soldier cannot be contacted for review, the CDR or commandant will comment on the action taken and the inability to contact the rated Soldier before submitting the addendum to HQDA. Specific instructions for referral are detailed in paragraph 3-28.

Section VIII

Mandatory Evaluation Reports

3-39. Basic rules

a. The OERs 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. Periods when the rater is in a nonrated status and, therefore, ineligible to evaluate the rated officer (such as attendance at a school, when suspended, in a patient status, in a leave status for 30 days or more, and so forth) will not be counted in the 90 calendar-day period. On these evaluation 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. "Senior Rater Option" evaluation reports for officers who are due a mandatory OER within 60 calendar days of the change in senior rater will be treated as mandatory evaluation reports (para 3-57b). Codes and reasons for submission are addressed in DA Pam 623-3. Authentication by all rating officials is mandatory.

Note. The minimum required rating period for USAR TPU, DIMA, and drilling IRR officers and ARNG officers is 120 calendar days; minimum senior rater qualification is 90 calendar days (apps G and H).

b. The NCOERs 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. Periods when the rater is in a nonrated status and, therefore, ineligible to evaluate the rated Soldier (such as attendance at a school, when suspended, in a patient status, in a leave status for 30 days or more, and so forth) will not be counted in the 90 calendar-day period. On these reports, senior raters will evaluate if they have the required 60 calendar days in the rating chain. "Senior Rater Option" evaluation reports for NCOs who are due a mandatory OER within 60 calendar days of the change in senior rater will be treated as mandatory evaluation reports (para 3-57b). No minimum time period is required for reviewer qualification. Codes and reasons for submission are addressed in DA Pam 623-3. Authentication by all rating officials is mandatory.

Note. The minimum required rating period for USAR TPU, DIMA, and drilling IRR NCOs and ARNG NCOs is 120 calendar days; minimum senior rater qualification is 90 calendar days (apps G and H).

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 (or 120 days for USAR TPU, DIMA, or drilling IRR Soldiers) of the start of a continuous nonrated period longer than 9 months (or 8 months for a USAR TPU, DIMA, or drilling IRR Soldiers) because of schooling, patient status, or any other reason covered by a nonrated code where the Soldier is not performing duties at an assigned unit, he or she will receive an "Extended Annual" evaluation report unless an event occurs that requires another type of report to be prepared. Resulting reports will reflect a "Period Covered" on the evaluation report that is greater than 12 months (including nonrated time), but the "Rated Months" entry cannot exceed 12 months. Examples are shown in figure 3-1. See paragraphs 3-33 and 3-42 regarding nonrated time and extended evaluation reports and DA Pam 623-3.

Note. Special guidance exists for evaluation reports for Soldiers in WTUs and newly commissioned officers/newly appointed warrant officers (see para 3-34).

d. During periods of mobilization (for example, mobilized, temporary change of station (TCS), ADOS-RC, ADOS, or contingency operations-active duty for operational support (CO-ADOS)) USAR and ARNG Soldiers will follow active Army rules for evaluation reports. When an entire unit is mobilized, and rating officials remain intact, a report is not required at the time of mobilization, unless otherwise required under this chapter (for example, "Change of Rater" or "Change of Duty"). Individual Soldiers who are mobilized will receive an evaluation report (for example, "Annual", "Change of Rater", or "Change of Duty") in accordance with the provisions of this chapter if minimum rater qualifications are met. See appendices G and H for USAR and ARNG specific evaluation reporting requirements.

3-40. "Change of Rater" report

a. A code 03, "Change of Rater" OER, is mandatory when the rated officer ceases to serve under the immediate supervision of the rater and minimum rating qualifications have been met.

b. A code 03, "Change of Rater" NCOER, is mandatory when—

(1) The rated NCO ceases to serve under the immediate supervision of the rater and minimum rating qualifications have been met.

(2) A rated NCO is reduced to the rank of specialist or below, if minimum rating qualifications have been met. Part I, block c will contain the reduced rank and part I, block d will reflect the effective date of the reduction. Reduction to another NCO grade does not require a report (see DA Pam 623-3).

c. Rated officers and NCOs, upon retirement, discharge, or change of duty under the same rating chain, or reassignment to an IRR control group (for USAR Soldiers only), will use a code 04 evaluation report (para 3-43) with the appropriate reason for submission instead of this type of report (“Change of Duty”). Indicate the appropriate reason or submission in part I, block h on the OER and part I, block g on the NCOER in accordance with DA Pam 623-3. The “THRU” date of the report will be the last day of supervision/last work day before starting work in the new duty assignment, being released from active duty service, or beginning of transition leave. Exceptions for retirement reports of less than 1 year are addressed in paragraph 3-43.

Note. A USAR and ARNG officer or NCO, upon release from active duty in one of the following statuses: AT, ADT, Active Duty for Operational Support (ADOS)-Reserve Component (RC), ADOS, or CO-ADOS, will receive a code 12 evaluation report that reflects the status from which he or she is being released (see para 3-47 and DA Pam 623-3 for the appropriate nomenclature for each type of report).

d. A “Change of Rater” report will be prepared for a rater’s subordinates when there is a loss of a rater as a rating chain member (described in para 2-20). The “THRU” date on these reports will be the date of the incident when the rater PCSs, dies, is declared missing, is relieved, or becomes incapacitated to such an extent that the CDR with the advice of medical authorities, when necessary, believes the rater is unable to submit an accurate evaluation. Paragraph 2-20 addresses rating chain rules and restrictions.

e. When a rated officer or 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. Evaluation reports will not be rendered on Soldiers for periods during which they are missing, prisoners of war, or hostages. The effect, if any, of a Soldier’s status on other personnel actions, favorable or unfavorable (such as letters of commendation or reprimand), and on actions under the UCMJ, will be governed by the laws and regulations pertaining to the particular action.

f. When an NCO is accepted for Warrant Officer Candidate School (WOCS), a “Change of Rater” NCOER will be prepared with a “THRU” date that is the day before the warrant officer departs for WOCS.

Note. If an NCO does not graduate from WOCS, the time will be counted as nonrated time (code S) on the next NCOER. Upon appointment as a warrant officer, the warrant officer’s first OER, which will begin after completion of WOBC, will have a “FROM” date that is the date of appointment. This paragraph does not apply to USAR TPU, DIMA, or IRR Soldiers (see para G-5, for guidance on evaluation reports for newly commissioned USAR officers and newly appointed USAR warrant officers).

3-41. “Annual” report

a. A code 02, “Annual” evaluation report, is mandatory for a rated Soldier upon completion of 1 calendar year of duty following the “THRU” date of the last OER or NCOER in the Soldier’s OMPF (or, for USAR and ARNG Soldiers, following 1 calendar year out of the IRR or ING (paras G-5a and H-11b).

Note. A calendar year is 365 days or 366 days if the Leap Year date, 29 February, is included in the period covered.

(1) If 1 calendar year has elapsed and the rated Soldier has not performed the same duty under the same rater for 90 calendar days (120 days for USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers), an “Extended Annual” evaluation report (para 3-42b) will be submitted.

(2) If the rated Soldier has gone on temporary duty (TDY) to attend a school and the “Annual” report is due, the depart TDY report (para 3-44) may be prepared and processed before the Soldier departs to reestablish an annual cycle or an “Extended Annual” report (para 3-42) may be prepared upon return to the same rating officials.

(3) An “Annual” evaluation report will not be submitted when the provisions for the “Change of Rater” (para 3-40) report or “Change of Duty” (para 3-43) report also apply.

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 SGT, unless another type of mandatory evaluation report is rendered before the year has elapsed.

(2) One calendar year after reversion to NCO status following service as a commissioned or warrant officer for 12 months or more.

(3) One calendar year after reentry on active duty in the rank of SGT or above after a break in service.

3-42. “Extended Annual” report

There are two types of “Extended Annual” reports; one is mandatory to cover any period of nonrated time since the previous report, the other is optional and used only in exceptional situations.

a. A mandatory code 10, “Extended Annual” evaluation report, will be prepared when a Soldier arrives at a unit with any nonrated time since the “THRU” date of the last evaluation report before a new rating relationship is established between the rated Soldier and his or her rater in a new unit. The “FROM” date of the period covered on the evaluation report will be the day after the “THRU” date of the last evaluation report. The rating period will begin on the Soldier’s arrival date. The “THRU” date will be 1 calendar year after the arrival date. There is no required length

or type of nonrated time between the “THRU” date of the last evaluation report and the establishment of a new rating relationship in order to render an “Extended Annual” report. The “FROM” date of the report will be the day after the “THRU” date of the last evaluation report, any nonrated time will be covered by the appropriate nonrated codes, and the rating period will begin the day of a Soldier’s arrival at a unit under a valid rating chain. The period covered on the report will be longer than 12 months, but the rating period or number of rated months (period covered minus nonrated time) will be no more than 12 months.

Note. Use of the electronic Form Wizard application on AKO (“My Forms” Portal) to document nonrated periods will calculate the number of rated months; nonrated codes are found in DA Pam 623–3. Additional information on nonrated time is found in paragraphs 3–33 and G–4.

The intent of this type of report is to give a rated Soldier an “Annual” evaluation report 1 calendar year after arrival in a new unit or position under a rater, unless another type of mandatory or optional evaluation report is warranted (for example, “Change of Rater”, “Change of Duty”, “Complete the Record”, or “Senior Rater Option”). Normally, this type of evaluation report will be rendered as the first evaluation report in an organization. It will be followed successively by other types of evaluation reports (for example, “Annual”, “Change of Rater”, “Senior Rater Option”, “Complete the Record”, “Relief for Cause”, and so forth).

Note. When another type of report with an extended period covered is prepared, the standard reason code and reason for submission will be used (DA Pam 623–3).

Figure 3–1 contains example of timelines to show when an extended evaluation report is prepared.

(1) All schooling periods, whether or not the Soldier receives an AER, will be accounted for as nonrated time on evaluation reports (paras 1–8, 3–33, 3–39, 3–49, and 3–50) along with other types of nonrated time (for example, leave, lack of rater qualification, TDY/permissive TDY, in-transit travel, and so forth).

(2) Special circumstances, as outlined in paragraph 3–34 pertain to—

(a) Newly commissioned officers and newly appointed warrant officers who have not yet attended BOLC/WOBC.

Note. This does not apply to officers in the USAR (see para G–5*m*), JAGC (see paras D–3 and D–4), and AMEDD (see para E–2).

(b) Soldiers in a nonratable status (see para G–4), which will always appear as an acceptable gap in the rated Soldier’s evaluation report history.

Note. “Extended Annual” evaluation reports will not be used to cover unacceptable gap periods when an evaluation report should have been prepared by a rating chain but was not (see para 3–33*e*(1)).

(3) For rated Soldiers who attended Army-approved transition team training, the rater (and the rated Soldier) will certify the training dates as nonrated time on the “Extended Annual” evaluation report; therefore, no DA Form 87 will be submitted as an enclosure to the evaluation report.

(a) The appropriate nonrated codes to account for the nonrated period normally include, but are not limited to, nonrated code “Q” for lack of rater qualification and nonrated code “T” for TCS.

(b) If the Soldier’s rating chain is established during transition team training, the rating period may begin the day the rating chain is established and not the day of arrival in the location or country of assignment.

b. An optional “Extended Annual” evaluation report may be prepared under unique circumstances when a rated Soldier has had multiple raters since the beginning of the rating period and has not yet accumulated 90 rated days (120 rated days for USAR TPU, DIMA, or drilling IRR Soldiers and ARNG Soldiers) in the same duty under the same rater as of the date an “Annual” or “Extended Annual” report would normally become due. The “FROM” date of the report will be the day after the “THRU” date of the last evaluation report, any nonrated time will be covered by the appropriate nonrated codes, and the rating period will begin on the rated Soldier’s arrival date or the date the initial rating relationship was established after the “THRU” date of the last report. The period covered on the report will exceed 1 calendar year with a “FROM” date that is the day after the “THRU” date of the last evaluation report and a “THRU” date that includes 90 calendar days of rated time (120 days for USAR TPU, DIMA, or drilling IRR Soldiers and ARNG Soldiers).

Note. Use of the electronic Form Wizard application on AKO (“My Forms” Portal) to document nonrated periods will calculate the number of rated months; nonrated codes are found in DA Pam 623–3.

This type of “Extended Annual” report allows the Soldier to get an evaluation report as soon as rating qualifications have been met following nonrated periods totaling 9 months or more (8 months or more for USAR TPU, DIMA, or drilling IRR Soldiers and ARNG Soldiers).

3–43. “Change of Duty” report

a. A code 04, “Change of Duty” evaluation report, is mandatory when a rated Soldier is reassigned to a different principal duty while still serving under the same rater or when he or she is separated from Army service. The reason for submission will reflect the event that warranted the generation of a report (that is, change of duty, discharge, separation, or retirement). No report is submitted when organizational changes merely alter the rated Soldier’s principal duty title but do not change the type of work performed (for example, personnel management staff officer to Assistant G–1). A mandatory code 03, “Change of Rater” evaluation report, will be prepared when a “Change of Duty” also results in a “Change of Rater” (see para 3–40).

b. A report is mandatory when a rated Soldier is separated from active duty. It is important for raters and senior raters to identify on the final evaluation report any unique skills or talents a rated Soldier possesses on which the Army can capitalize in the future if the Soldier is recalled to active duty service or mobilized in the USAR or ARNG.

c. As an exception, retirement reports of less than 1 calendar year will be rendered at the option of the rater or senior rater, or when requested by the rated Soldier. Retirement reports that conclude a Soldier’s military career will have a “THRU” date that is the final day of supervision or last duty day before beginning transition leave or before retiring (if no transition leave will be taken). Rating official minimum time requirements apply.

d. When the rated Soldier is declared missing or becomes a prisoner or hostage, a report is required as of the date of the incident. Under these situations, rating official minimum time requirements do not apply. Evaluation reports 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 UCMJ will be governed by the laws and regulations pertaining to the particular action.

3–44. “Depart Temporary Duty, Special Duty, or Temporary Change of Station” report

A code 06, depart TDY OER or NCOER, will be submitted on a rated Soldier by the rating officials in the organization from which he or she departs on TDY, special duty (SD), or TCS to perform duties not related to his or her primary functions in the unit; and, while on TDY, SD, or TCS, they serve under a different immediate supervisor for a period of 90 or more calendar days. However, this report is not required before departure on TDY for schooling (AER-producing school or otherwise; for example, a course issuing a certificate of training).

a. In cases where it cannot be determined if such duty-related TDY, SD, or TCS will last for 90 days, a report may be submitted.

b. In cases when known mandatory reports (“Annual”, “Change of Rater”, and so forth) will be due while Soldiers are attending schooling (AERs counting as nonrated time on an evaluation report), this type of evaluation report may be submitted to alleviate the need for a mandatory report while at school. Also, in these circumstances an “Extended Annual” evaluation report is an option (see para 3–42).

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. A Soldier who is 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).

3–45. “Temporary Duty, Special Duty, or Temporary Change of Station” report

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 paras 2–3 and 2–4). In these cases, the TDY, SD, or TCS supervisor is responsible for ensuring that a rating chain is published and that a DA Form 67–9–1 (or equivalent) (and DA Form 67–9–1a, if applicable) is initiated on the rated officer or a DA Form 2166–8–1 is initiated on the rated NCO. Supervisors of the TDY, SD, or TCS unit or location are not authorized to render any type of evaluation report for periods of fewer than 90 calendar days, unless otherwise authorized as an exception. Rated Soldiers on TDY, SD, or TCS who are in attendance at courses of instruction are evaluated on AERs and, as such, the period is counted as nonrated time on the next OER or NCOER.

Table 3–1
“Temporary Duty, Special Duty, and Temporary Change of Station” not related to principal duty

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

Notes:

¹ Letter of input is prepared by the TDY, SD, or TCS supervisor and sent to the rated Soldier’s normal rater. The normal rater will consider this information when preparing the rated Soldier’s next evaluation report. The letter of input will not be enclosed with the report when it is forwarded to HQDA.

² A complete report is prepared as a code 04, “Change of Duty” evaluation report, by the TDY, SD, or TCS supervisor and forwarded to HQDA by the senior rater.

3-46. “Failed Promotion Selection” report (DA Form 67-9 only)

The provisions of this paragraph do not apply to NCOs or USAR and ARNG officers.

a. An officer who fails to be selected for promotion by an active Army promotion board will receive a code 11, promotion OER, 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. Any other mandatory evaluation report that is due prior to the required “THRU” date for a promotion OER as stated in the MILPER message announcing the promotion selection board will be prepared.

(2) The rating period must cover 90 or more calendar days as of the date in an HQDA message announcing the zone of consideration for the next board that will consider the rated officer. This date will be the same as the date used for a “Complete the Record” evaluation report (para 3-56).

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

b. This type of report does not apply to officers who are not in a regular duty environment with an established rating chain (for example, officers attending school are not eligible for an OER).

c. This requirement does not apply to officers being considered by an HQDA selection board for promotion to the ranks of BG or MG.

3-47. “Release from Active Duty Service” report (United States Army Reserve and Army National Guard only)

This evaluation report is used only for USAR and ARNG Soldiers upon their release from service on active duty, as applicable. The reason for submission is code 12. The Soldier’s status during his or her service on active duty will determine the reason for submission (DA Pam 623-3) as follows:

a. Release from annual training (“REFRAT”).

b. Release from active duty for training (“REFRADT”).

c. Release from Active Duty Operational Support-Reserve Component (“REFRADOS-RC”).

d. Release from Active Duty Operational Support (“REFRADOS”).

e. Release from contingency operations-Active Duty Operational Support (“REFRCO-ADOS”).

Section IX

Mandatory Evaluation Reports Other Than 90-Day Minimum

3-48. 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.

Note. A mandatory “Senior Rater Option” report will be prepared under the conditions stated in paragraph 3-57b. Authentication by all rating officials is mandatory.

3-49. Service school academic evaluation report (DA Form 1059)

DA Form 1059 is used to report the performance of students attending Army Schools, DOD schools, USAR and ARNG Schools, NCO academies, allied nation schools, and RC chaplain candidates for training (IDT), as well as formal schooling as prescribed below. All of these are considered “Service schools.”

Note. The time covered in AER-producing schools will be shown as nonrated time on the OER or NCOER that covers the same period.

Comments pertaining to accomplishments during the period covered by an AER will not be included in OERs or NCOERs (DA Pam 623-3 contains AER preparation and 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. The CG, TRADOC; the CDR, U.S. Army Medical Department Center and School; TJAG; and the Chief of Chaplains determine course structure and which Service schools or courses will provide AERs to students. This is particularly true for multi-phased courses.

b. An AER is required for students attending the following courses (this listing is not all-inclusive):

(1) Active Army officers 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).

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

(3) Officers enrolled in the U.S. Army War College Correspondence Studies Course upon graduation.

(4) All branch transition courses.

(5) Active Army warrant officer basic and advanced courses, all staff and senior staff warrant officer training courses.

(6) Army Medical Department Academy of Health Sciences courses.

(a) Students participating in dietetic internships, occupational therapy clinical affiliation, and the U.S. Army-Baylor Program in Physical Therapy.

(b) Phases I and II of the Physician Assistant Training Program, which are exceptions to the prohibition against requiring reports for pre-commissioning or appointment courses.

c. NCOs attending the following courses (this listing is not all-inclusive)—

(1) An MOS-producing school when the primary military occupational specialty (PMOS) was awarded due to previous training, advanced individual training, or on-the-job training (OJT).

(2) NCO education system courses (regardless of length or component), including—

(a) Warrior Leader Course.

(b) ALC.

Note. A DA Form 87 will be awarded to Soldiers who complete the ALC common curriculum (phase 1). A DA Form 1059 is not awarded to Soldiers unless there is no ALC technical phase for a Soldier's MOS.

(c) Senior Leaders Course.

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

(e) First Sergeant Course, 521–SQIM.

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

(g) United States Army Reserve and ARNG NCOs taking courses at Army schools or colleges (except trainees attending their initial ADT).

d. DA Form 1059 is not authorized for students meeting the following conditions:

(1) 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 HQDA (AHRC-(appropriate career branch)), for use as deemed appropriate by the CG, USAHRC; TJAG; and the Chief of Chaplains, as appropriate. The time will be declared nonrated on the next OER or NCOER.

(2) Students in good academic standing who are eliminated from Initial Entry Rotary Wing for flight deficiency only. A letter explaining the reasons for termination will be sent, instead of a DA Form 1059, from the elimination approval authority to HQDA (AHRC–OBE–V), for use as deemed appropriate by CG, USAHRC. The time will be declared nonrated on the next OER or NCOER.

(3) Students who volunteered for, but either withdrew or were eliminated from, the Special Forces 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 HQDA (AHRC-(appropriate career branch)), for use by the CG, USAHRC; TJAG; and the Chief of Chaplains, as appropriate. The time will be declared nonrated on the next OER or NCOER.

(4) Courses for which TRADOC has deemed an AER inappropriate, AMEDD first-year postgraduate medical and dental education internships, residencies, and fellowships at Army installations (AR 351–3).

(5) Officers in the TJAG's FLEP require only a transcript of grades while attending law school.

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

(7) Defense Language Institute courses for enlisted personnel in the ranks of specialist or CPL and below at the time of graduation.

(8) Pre-commissioning/appointment courses (that is, USMA Preparatory School, OCS, and WOCS with follow-on proponent certification course), except phase I and II of the Physician Assistant Training Program, which are exceptions and require reports.

e. DA Form 1059 is not authorized for USAR or ARNG Soldiers participating in—

(1) ALC (phase I).

(2) Enlisted initial active duty for training.

(3) USMA Preparatory School.

(4) OCS.

(5) Refresher courses of fewer than 80 hours.

f. Active Army personnel may be granted constructive or equivalent school credit by the CG, USAHRC; TJAG; the Chief of Chaplains; or CG, TRADOC. Requests will be forwarded to the appropriate career management division in accordance with AR 350–1.

g. All RC chaplain candidates in IDT 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.

h. For courses of instruction that exceed 12 months, an interim DA Form 1059 will be prepared annually. The interim report will comment on the student's progress at the time of preparation. A final report will be prepared and submitted to HQDA (AHRC–PDV–ER) to arrive no later than 90 days after completion or termination of schooling or training.

Note. AERs prepared using the ATRRS may be submitted electronically to HQDA; these AERs will be visible in the IWRS. As an exception, for courses that exceed 1 calendar year, but are 15 months or less, only one DA Form 1059 will be submitted to cover the entire duration of the course.

i. The APFT and height and weight data will be entered on the AER for courses that require an APFT to be taken in accordance with AR 350-1 (DA Pam 623-3 discusses these entries on DA Form 1059).

j. Address and contact information for Service school AERs are found in appendix F.

3-50. Civilian institution academic evaluation report (DA Form 1059-1)

A DA Form 1059-1 will be submitted for active Army, USAR, and ARNG Soldiers 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.

Note. The time covered in AER-producing schools will be shown as nonrated time on the OER or NCOER that covers the same period.

Additionally, reports will be submitted for—

a. Active Army Soldiers who participate in a part-time (after-duty) degree program if—

(1) Formally approved for participation in a degree completion program (see AR 621-1).

(2) The degree completion program is a Soldier's primary duty.

b. Voluntary participation of rated active Army and USAR Soldiers serving in an active status, and ARNG serving in Title 10 or 32 USC active status and—

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

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

c. Courses of instruction that exceed 12 months. An interim DA Form 1059-1 will be prepared annually. The interim report will comment on the Soldier's progress at the time of preparation. A final report will be prepared and submitted to HQDA (AHRC-OML-M) to arrive no later than 90 days after completion or termination of schooling or training. As an exception, for courses that exceed 1 calendar year, but are 15 months or less, only one DA Form 1059-1 will be submitted to cover the entire duration of the course. Master's degree-level programs will receive only a final report, unless schooling exceeds 24 months.

Note. Address and contact information for civilian institution AERs are found in paragraph 3-15 and appendix F.

3-51. Judge Advocate General's Corps on-the-job training report

a. An OER will be required when an officer participating in TJAG's FLEP completes OJT of 31 or more calendar days. The reason for submission, code 17, JAGC-OJT, will be used.

b. CDRs, 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. Officer evaluation reports for officers who perform OJT of 30 or fewer days may be submitted at the option of the rating officials. Rating chain time minimums do not apply (see app D).

c. DA Form 1059-1 will be prepared at least annually for TJAG's FLEP officers attending a civilian academic institution if not performing OJT (for example, a JAGC officer taking classes to complete a legal degree or affiliated with a civilian university pending successful completion of a state bar examination. The period covered by the AER will be reflected as nonrated time on the initial tour of extended active duty OER following the completion of schooling.

d. The provisions of this paragraph do not apply to warrant officer OERs or NCOERs.

3-52. Initial tour of extended active duty report

A code 14, initial evaluation report, will be prepared for JAGC commissioned officers under specified circumstances following their completion of BOLC. The provisions of this paragraph do not apply to NCOs.

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

(1) Serving an initial tour of active duty in the Army (other than ADT or USAR or ARNG officers serving on statutory tours under 10 USC 175, 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 FLEP (AR 27-1) (see app D).

b. This report will not be prepared for—

(1) Any officer not included in paragraph *a*, above.

(2) Any officer included in paragraph *a*, above, who has already received an OER under some other provision of this regulation during his or her 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.

c. The "FROM" date of the period covered by an initial OER will begin with the rated officer's date of entry on

current active duty or the “THRU” date of any previously received OER. The rating period will begin when the rated officer arrives at his or her unit of assignment following BOLC. The rating period will end upon the completion of 120 calendar days (excluding nonrated days) in the same principal duty assignment under the same rater (“THRU” date on OER). Other rating official qualification and minimum time requirements apply for the 120-day initial time under the rater.

Note. The periods covered by DA Form 1059–1 for law school attendance and periods following successful graduation from law school before successfully completing a state bar examination and DA Form 1059 for attendance at BOLC, and time before the rated officer’s assignment to a unit, organization, or agency will be reflected as nonrated time on the initial OER (paras 1–8, 3–33, 3–39, 3–49, and 3–50).

3–53. U.S. Army Human Resources Command-directed evaluation report

a. When the CG, USAHRC, decides there is a need for an evaluation report (para 1–4*a* (3) and other provisions of this chapter do not apply), an AHRC-directed report will be submitted on the rated Soldier. The reason for submission, code 19, AHRC-directed, will be used.

b. In extremely rare instances, CDRs may request that a report to be directed under provisions of this paragraph. Requests will be sent to USAHRC (AHRC–PDV–E) (see app F for address).

c. This type of report will also be used for Army Medical Department Professional Management Command (APMC) officers as indicated in paragraph G–5*k*.

3–54. “Relief for Cause” report (DA Form 67–9)

A code 05, “Relief for Cause” OER, is required when an 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 his or her 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 nonrated time involved. Every effort will be made to retain the established rating chain, with the officer performing alternate duties under that rating chain, until the investigation is resolved. If the rated officer is suspended and subsequently relieved, the period between the suspension and the relief is nonrated time. The suspended officer will not render or receive evaluation reports until his or her status (and, thus, his or her ability to serve as a rating official) is decided. While no evaluation report will be rendered on a suspended officer during the period of suspension, for an officer who is suspended and subsequently returned to duty (not relieved), the period of suspension is recorded as evaluated time on the next OER.

c. If a “Relief for Cause” is contemplated on the basis of an informal AR 15–6 investigation, referral procedures contained in that regulation will be followed before the act of initiating or directing the relief. This is irrespective of the fact that the resultant report will also be referred to the rated officer as described in paragraph 3–28. This does not preclude a temporary suspension from assigned duties pending application of the procedural safeguards contained in AR 15–6. Action to relieve an officer from any command position will not be taken until after obtaining written approval from the first general officer in the chain of command of the officer being relieved, as required by AR 600–20.

d. The evaluation report must specifically indicate who directed the relief of the rated officer and will clearly explain the reason for the relief in his or her portion of the OER. See DA Pam 623–3 for instructions and procedural guidance that apply to completing a “Relief for Cause” evaluation report.

e. If the relief is directed by someone other than the rating officials, the official directing the relief will describe the reasons for the relief in an enclosure to the report (fig 3–4).

f. If, after a “Relief for Cause” report has been submitted to HQDA, additional significant information becomes available, the provisions of paragraphs 3–36, 3–37, and 3–38 will apply.

g. 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 regarding a past incident plans to relieve the officer from his or her present position or process him or her for elimination. When this occurs, the following provisions apply:

- (1) A “Relief for Cause” evaluation report will be prepared.
- (2) The rated officer will be evaluated only on performance during the current rating period, with the exception of the statement clarifying the relief.
- (3) Rating restrictions described in DA Pam 623–3 do not apply.

- (4) The reason for the relief will be cited in the report.
- (5) If necessary, the new information will be forwarded to the previous rating chain when submitting an addendum, as described in paragraphs 3–36, 3–37, and 3–38.
- h.* The minimum time requirements for rating officials do not apply. All rating officials will evaluate the rated Soldier; however, any rating official who has not directed the relief, and does not agree with the relief, may state nonconcurrence in the proper narrative portion of the report.

3–55. “Relief for Cause” report (DA Form 2166–8)

A code 05, “Relief for Cause” NCOER, is required when an NCO is relieved for cause. An NCO can be relieved for cause regardless of the rating period involved; however, a waiver is required to render “Relief for Cause” NCOERs covering a period of less than 30 days. Relief for cause is defined as the removal of an NCO from a specific duty or assignment based on a decision by a member of the NCO’s chain of command or supervisory chain. A “Relief for Cause” occurs when the NCO’s personal or professional characteristics, conduct, behavior, or performance of duty warrants removal in the best interest of the U.S. Army (see AR 600–20). 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 suspended NCO will not render or receive evaluation reports, until his or her status (and, thus, his or her ability to serve as a rating official) is decided. 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 nonrated time involved. Every effort will be made to retain the established rating chain, with the NCO performing alternate duties under that rating chain, until the investigation is resolved. If the rated NCO is suspended and subsequently relieved, the period of suspension is nonrated time. If the rated NCO is suspended and subsequently placed back to duty (not relieved), the period of suspension is recorded as evaluated time on the next NCOER.

c. If a “Relief for Cause” evaluation report is contemplated on the basis of an informal AR 15–6 investigation, the referral procedures contained in that regulation will be followed before the act of initiating or directing the relief. This does not preclude a temporary suspension from assigned duties pending application of the procedural safeguards contained in AR 15–6. A “Relief for Cause” report will be the final action after all investigations have been completed and a determination made.

d. The evaluation report must specifically indicate who directed the relief of the rated NCO and the rating official directing the relief will clearly explain the reason for the relief in his or her portion of the NCOER (see DA Pam 623–3 for instructions and procedural guidance that apply to completing a “Relief for Cause” evaluation report).

e. If the relief is directed by an official other than the rater or senior rater, the official directing the relief will describe the reasons for the relief in an enclosure to the report (see fig 3–4).

f. The minimum rater and senior rater qualifications and the minimum rating period are 30 rated days. The fundamental purpose of this restriction is to allow the rated NCO a sufficient period of time to react to performance counseling during each rating period. Authority to waive this 30–day minimum rating period and rater and senior rater qualification period in cases of misconduct is granted to the first general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO. The waiver approval will be in memorandum format and attached as an enclosure to the report (see para 3–35 and fig 3–5).

Note. For USAR and ARNG NCOs, authority to waive this 60-day minimum rating period and rater and senior rater qualification periods in cases of misconduct is granted to a general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO.

Section X

Optional Reports

These reports are submitted at the option of rating officials, providing all requirements are met.

Note. An exception to the optional nature of these reports is the “Senior Rater Option” report as discussed in paragraph 3–57*b*. Authentication by all rating officials is mandatory.

3–56. “Complete the Record” report

“Complete the Record” evaluation reports are optional. Therefore, the absence of such a report from the OMPF at the time of a selection board’s review will not be a basis to request standby reconsideration unless the absence is due to administrative error or a delay in processing at HQDA.

Note. This paragraph is also applicable to the USAR and ARNG CSM Programs and USAR and ARNG promotion boards centralized at a major USARC headquarters, the State, and NGB.

- a.* DA Form 67–9. A code 09, “Complete the Record” OER, may be submitted on a rated officer who is about to be

considered by an HQDA-level selection board (for promotion, project manager, school, or command) provided the following conditions are met:

(1) The rated officer will be in or above the zone of consideration for a centralized promotion selection board or in the zone of consideration for a school or command selection board.

Note. Officers being considered in the below the zone category are not eligible for a “Complete the Record” OER.

(2) The rated officer will have served for a minimum of 90 calendar days (excluding nonrated periods) in the same position under the same rater as of the “Complete the Record” evaluation report “THRU” date stated in the HQDA MILPER message announcing the zones of consideration. The MILPER message announcement provides additional eligibility criteria for “Complete the Record” OERs.

Note. All error-free evaluation reports received by the required receipt date stated in the MILPER message will be completed in time for viewing by the selection board.

(3) All other rating chain time minimums apply.

(4) An officer who was previously considered, but not selected for promotion, by an HQDA promotion selection board will prepare a code 11, promotion OER, not a “Complete the Record” report.

b. DA Form 2166–8. A code 09, “Complete the Record” NCOER, may be submitted on a rated NCO who is about to be considered by an HQDA-level selection board (for promotion, school, or CSM selection) provided the following conditions are met:

(1) The rated NCO will be in the zone of consideration (primary or secondary) for a centralized promotion board or in the zone of consideration for a school or CSM selection board.

(2) The rated NCO will have served for a minimum of 90 calendar days (excluding nonrated periods) in the same position under the same rater as of the “Complete the Record” evaluation report “THRU” date stated in the HQDA MILPER message announcing the zones of consideration. The rated NCO must not have received a previous report for the current duty position.

Note. All error-free evaluation reports received by the required receipt date stated in the MILPER message will be completed in time for viewing by the selection board.

(3) All other rating chain time minimums apply.

3–57. “Senior Rater Option” report

a. A code 08, “Senior Rater Option” evaluation report, may be rendered when a change in senior rater occurs. The senior rater may direct that a report be made on any Soldier 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.

Note. The minimum rating requirement for evaluating USAR TPU, DIMA, or drilling IRR Soldiers or ARNG man-day (M–DAY) Soldiers is 90 days (apps G and H).

(2) The rater meets the minimum 90–day requirement (120–day requirement for drilling USAR TPU, DIMA, or drilling IRR Soldiers or ARNG (M–DAY) Soldiers).

(3) The Soldier has not received an evaluation report in the preceding 90 calendar days (120 calendar days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG Soldiers). As an exception, if a general officer is serving as both rater and senior rater, the Soldier must not have received a report in the preceding 60 days (90 days for USAR TPU, DIMA, or drilling IRR Soldiers or ARNG (M–DAY) Soldiers).

b. As an exception, a mandatory evaluation report will be prepared when a report is due within 60 calendar days (90 days for USAR TPU, DIMA, or drilling IRR Soldiers) when a change in senior rater will occur. The senior rater will submit a “Senior Rater Option” report in such cases to prevent an OER or NCOER being submitted without a senior rater evaluation.

3–58. “60–Day Option” report

A code 07, “60–Day Option” evaluation report, may be rendered when one of the conditions described in paragraphs 3–40 through 3–43 occurs, and the senior rater has served in his or her capacity fewer than 90 days but more than 59 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, app B, for “all others” tour identification by area) or as designated in the Personnel Policy Guidance.

b. The senior rater will meet the minimum time-in-position requirements to evaluate (60 days) and will approve or disapprove submission of the 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 Soldier that the report has been disapproved and destroy the report.

3–59. “Rater Option” report (DA Form 67–9 only)

A code 13, “Rater Option” OER, may be rendered when one of the conditions described in paragraphs 3–40 through 3–43 occurs but there are fewer than 90 calendar days in the rating period (120 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers not on an active duty tour for 90 days or more), excluding nonrated periods. An OER may be submitted at the option of the rater. However, the rated officer will have served continuously under the same rater in the same position for 90 or more calendar days in the previous rating period. All other rating chain minimums apply. For example: An officer received an annual OER on 31 March. The rated officer departs on a 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 his or her option, render a report for the period 1 April to 21 May. The senior rater (and intermediate rater, if applicable) will sign the report but may not provide comments because minimum rating qualifications have not been met.

3–60. Memorandum of input

The provisions of this paragraph only apply to OERs.

a. At the senior rater’s discretion, officers who change raters, but continue to perform the same duties under the same senior rater, may receive a memorandum of input from their departing rater (rater of record) in lieu of a “Change of Rater” evaluation under certain circumstances.

b. The senior rater, upon approving, will direct the rater of record to complete a memorandum of input on the rated officer if that rated officer has served under the rater of record for at least 90 days (120 days for USAR TPU, DIMA, and drilling IRR Soldiers or ARNG Soldiers). Senior raters, as an option, may use a memorandum of input when circumstances permit.

(1) The memorandum of input will include the following information: date, grade, name, SSN of the rated officer, and the period covered by the assessment. The text will contain a description of the rated officer’s duties and an assessment of his or her performance.

(2) The memorandum of input will be submitted to the senior rater. Copies of the completed memorandum of input will be provided to the rated officer and the next rater of record by the senior rater. All final memorandums of input are to be used by the final rater of record when completing the final required evaluation.

Note. Memorandums of input will not be forwarded or attached to the final evaluation when submitting to HQDA.

c. Senior raters will be aware of future changes in a rated officer’s duties prior to directing use of a memorandum of input to preclude a situation where the rated officer receives a memorandum of input from a departing rater of record only to change duties before his or her next rater of record meets minimum rating eligibility requirements (90 days or 120 days for USAR TPU, DIMA, and drilling IRR Soldiers or ARNG Soldiers). The senior rater will remain aware if the rated officer is pending departure or will have a change in duties before the next rater of record would meet rating eligibility requirements. The senior rater will not exercise the use of the memorandum of input option and the appropriate evaluation report will be rendered.

(1) In instances where any rater of record does not meet minimum requirements to serve as a rater (90 days or 120 days for USAR TPU, DIMA, and drilling IRR Soldiers or ARNG Soldiers) during the rating period, that period of time will be considered as nonrated time when the final evaluation is completed by the last rater of record.

(2) In rare circumstances where the last rater of record does not meet minimum requirements to serve as a rater (90 days or 120 days for USAR TPU, DIMA, and drilling IRR Soldiers or ARNG Soldiers), the senior rater will prepare the final evaluation as both the rater and senior rater.

d. If a rated officer has received a memorandum(s) of input and his or her current rater of record dies, is declared missing, is relieved, or becomes mentally or physical incapacitated, provisions of para 2-20 will apply.

e. If the senior rater dies, is declared missing, is relieved, or becomes mentally or physical incapacitated, the provisions of para 2-20 will apply.

f. The period covered by memorandum(s) of input cannot exceed 270 days. Memorandum(s) of input cannot be used when a mandatory report (other than a “Change of Rater”) is required.

g. When an OER is rendered, the rating period will commence on the day following the “THRU” date of the last OER and end on the date of the event requiring the report to be rendered. The rated months should include all rated and nonrated time covered by the memorandum(s) of input. The “Rated Months” cannot exceed a total of 12 months.

Chapter 4 Evaluation Report Redress Program

Section I Managing the Redress Program

4-1. Overview

a. The Evaluation Report Redress Program consists of several elements at various levels of command (for example, field, USAHRC, 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 (or equivalent) 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 rating period (para 3-20) and the prohibition against command influence on rating officials during the preparation of reports (para 1-11 and DA Pam 623-3).

c. If an OER or AER is referred, there is the evaluation referral and acknowledgment process (para 3-28 and DA Pam 623-3).

d. Beyond regulatory remedies, elements of the Redress Program, CDR's or Commandant's Inquiry (sec II, this chap), the Appeals System (sec III, this chap), 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 CDR's or Commandant's Inquiry and an evaluation report appeal.

4-2. Information

a. An OER (DA Form 67-9), NCOER (DA Form 2166-8), or AER (DA Form 1059) may have administrative errors or may not accurately record the rated Soldier's potential or the manner in which he or she performed his or her 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. A CDR's or Commandant's Inquiry and an evaluation report appeal are separate and distinct actions. Rated Soldiers may seek an initial means of redress through a CDR's or Commandant's Inquiry; however, a CDR's or Commandant's Inquiry is not a prerequisite for the 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. Rated Soldiers 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

4-3. Applicability

CDRs (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 AERs or other evaluation reports provided by civilian educational, medical, or industrial institution because there is no military command structure available.

4-4. Purpose

Alleged errors, injustices, and illegalities in a rated Soldier's evaluation report may be brought to the CDR's or commandant's attention by the rated Soldier or anyone authorized access to the report (para 1-11).

a. The primary purpose of a CDR's or Commandant's Inquiry is to provide a greater degree of command involvement in preventing obvious injustices to the rated Soldier and correcting errors before they become a matter of permanent record.

b. A secondary purpose is to obtain command involvement in clarifying errors or injustices after the evaluation is accepted at HQDA. However, in these after-the-fact cases, this paragraph is not intended to be a substitute for the appeals process, which is the primary means of addressing errors and injustices after they have become a matter of permanent record (para 3-36 provides restrictions on modifications to previously submitted reports already accepted by HQDA).

c. The provisions of AR 15–6 do not normally apply to inquiries of this type. However, the CDR or commandant may determine that the provisions of AR 15–6 apply in specific instances.

4–5. Policy

a. A CDR's or Commandant's Inquiry will not be used to document differences of opinion among members of the rating chain about a rated Soldier's performance and potential. The evaluation system establishes rating chains and normally relies on the opinions of the rating officials. Rating officials will evaluate a rated Soldier and their opinions constitute the organization's view of that Soldier. However, the CDR may determine through inquiry that the report has serious irregularities or errors. Examples include:

(1) Improperly designated, unqualified, or disqualified rating officials (that is, a rating official not in the published rating chain; a rating official without the minimum required time to render an evaluation report; or a rating official who, through an official investigation, has had a substantiated adverse finding against him or her that results in his or her relief or calls into question the rating official's objectivity).

(2) Inaccurate or untrue statements.

(3) Lack of objectivity or fairness by rating officials.

b. The inquiry will be made by a CDR 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 CDR 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 Soldier, 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 CDR's Inquiry (OER or NCOER) or Commandant's Inquiry (AER) provisions to forward information derogatory to the rated Soldier. For OERs and AERs only, if the inquiry reveals matters that might have resulted in a lower evaluation of a rated Soldier, the information will be addressed in the memorandum outlining the results of the inquiry by the CDR or commandant responsible for the inquiry in accordance with paragraph 3–38. No changes will be made to an evaluation report to reflect a lower evaluation of a rated Soldier following the results of a CDR's or Commandant's Inquiry.

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 Soldier's OMPF, the inquiry will be conducted by either the CDR or commandant at the time the evaluation was rendered who is still in the command position, or by a subsequent CDR or commandant in the position. The results of 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 forwarded to HQDA will include the findings, conclusions, and recommendations in a memorandum that will be filed with the evaluation report in the rated Soldier's OMPF for clarification purposes (see fig 4–1). The results will include the CDR'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.



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

(Office Symbol)

(Date)

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

SUBJECT: Commander's/Commandant's Inquiry Report on an Officer Evaluation
Report (or Academic Evaluation Report) for *(Rated Officer's Name, Rank, SSN, Report
Period Covered)*

1. In accordance with AR 623-3, Evaluation Reporting System, paragraph 4-5g, a Commander's/Commandant's inquiry was conducted to look into alleged errors, injustices, or legalities pertaining to the subject officer evaluation report (OER) (or academic evaluation report (AER)). My inquiry focused on *(identify what portion(s) of the OER/AER were specifically addressed and/or allegations made in the request for an inquiry)*.
2. As a result of my inquiry, I have concluded/determined that *(state if the findings from the inquiry revealed that the evaluation report is accurate as written, indicates bias/lacks objectivity and fairness, consistent with/inconsistent with the requirements of AR 623-3, requires administrative correction, etc. If necessary, include brief comments on background details, such as pertinent events that occurred during the preparation of the OER/AER)*.
3. I recommend that this OER/AER *(state whether the OER/AER should be processed as written and filed in the rated Soldier's Official Military Personnel File, administratively corrected, be appealed by the rated Soldier, etc.)*. The rated Soldier has been informed of my findings and recommendations and his/her right to file an appeal to the OER/AER.
4. The point of contact for this memorandum is (POC's name, phone number, email address).

*(Signature block of the commander
or commandant)*

Note: The Commander's/Commandant's Inquiry report will be limited to a one-page memorandum that can be filed with the DA Form 67-9/DA Form 1059. The memorandum must stand alone without reference to other documentation.

Figure 4-1. Sample format for a CDR's or Commandant's Inquiry report

h. If the CDR finds no fault with the evaluation, then the CDR's or Commandant's Inquiry is filed locally and a copy given to the rated Soldier. There is no requirement to send the CDR's or Commandant's Inquiry forward to HQDA.

4-6. Tasks

Operating tasks for conducting a CDR's or Commandant's Inquiry are outlined in table 4-1.

Table 4-1
Steps in conducting a Commander's or Commandant's Inquiry

Step	Work center	Action required
1	Requester	Submit a written request for a CDR'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 CDR above the designated rating chain.
2	CDR or 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 CDR desires, he or she may retain a written record of the inquiry (for example, a memorandum for record). It is not necessary for the CDR to notify HQDA if there are no discrepancies found in the evaluation report.
3	CDR or commandant	If an error, violation of the regulation, or wrongdoing has occurred and the evaluation has not been forwarded to HQDA, the CDR or commandant will return the evaluation with the inquiry results to the senior rater or reviewer, as applicable. The CDR 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 4-5c). When the report has been corrected, it will be sent to HQDA with no reference to the action taken by the CDR or commandant (for example, the OER, NCOER, or AER only is forwarded); the results of the inquiry will remain with the CDR.
4	CDR or commandant	If the report has not yet been forwarded to HQDA and the CDR or commandant and the rating chain members cannot agree on the need for change in the report, the CDR or commandant will forward the evaluation report and the results of the inquiry to the appropriate agency (app F).
5	CDR or commandant	If the CDR or commandant finds that a report already forwarded to HQDA contains errors, or is in violation of this regulation, he or she 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

4-7. 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.
- 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.
- 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) AHRC.
 - (c) Office of the Surgeon General.
 - (d) Office of TJAG.
 - (e) Office of the Chief of Chaplains.
 - (f) NGB.
 - (2) Other individuals knowing of an alleged rating injustice will contact one of the above agencies or the rated Soldier.
- d.* An appeal begun by any party on behalf of an appellant will be referred to the appellant for concurrence and comment before it is submitted.

e. The results of a CDR's or Commandant's Inquiry under paragraph 1-11 do not constitute an appeal. They may be used, however, in support of an appeal.

f. An appeal will be supported by substantiated evidence (para 4-11). An appeal that alleges a report is incorrect, inaccurate, or unjust without usable supporting evidence will not be considered. The determination regarding adequacy of evidence may be made by HQDA, Evaluation Appeals Branch (AHRC-PDV-EA), NGB-ARP-C (Appeals Section), or the appropriate State AG (ARNG).

g. The BN/BDE S1 or 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 an official copy of the officer record brief or enlisted record brief, orders, or duty appointment documents. These requests are not appeals. See DA Pam 623-3 for information on appeals.

h. Appeals based on administrative error only will be adjudicated by HQDA, Evaluation Appeals Branch (AHRC-PDV-EA), for active Army and USAR OERs, NCOERs, DA Form 1059, and DA Form 1059-1. Appeals based on administrative error for ARNG OERs, NCOERs, DA Form 1059, and DA Form 1059-1 will be adjudicated by NGB (NGB-ARP).

(1) Claims of administrative error pertain to—

(a) DA Form 67-9, parts I, II, III, block a, III, block b, and IV, block c.

(b) DA Form 2166-8, parts I, II, and III.

(c) DA Form 1059, items 1 through 12.

(d) DA Form 1059-1, items 1 through 10.

(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 APFT and/or height and weight entries.

(3) Nonrated periods of time and missing evaluation reports require special consideration—

Note. For evaluation reports on IMA and IRR Soldiers not performing duty, gaps will occur.

(a) A period of undocumented nonrated time resulting in a gap between completed evaluation reports in a Soldier's OMPF may be administratively corrected upon request from the rated Soldier, unless the period reflects a chain of command's failure to render a mandatory report that was due (paras 3-40 through 3-55). In some cases, administratively correcting a "FROM" date on a report may cause it to be not in accordance with the rules of AR 623-3. When this occurs, the Evaluation Appeals Office will mark "Corrected Copy per HQDA Appeals Office" so the altered "FROM" date will be understood by future selection boards and career managers.

(b) A period of time for which an evaluation report should have been prepared by the rating officials, but was not, will be left as a gap between reports in the Soldier's file. The Soldier should make every effort to obtain missing evaluation reports from the rating officials. If the Soldier is unable to obtain a missing evaluation report, the Soldier should submit a request for a nonrated time statement in accordance with paragraph 3-33e. Requests submitted under these circumstances will be adjudicated on a case-by-case basis.

Note. ARNG-specific nonrated time and missing evaluation reports are addressed in appendix H.

(c) Requests for the administrative correction of evaluation reports at HQDA for nonrated time will be mailed to USAHRC (AHRC-PDV-EA) (mailing and e-mail addresses are in app F).

(4) 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 and height and weight 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 III, block a) will be accepted only under the most unusual and compelling circumstances. The rated Soldier's signature also verifies that the rated Soldier has seen a completed evaluation report. 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 the correction of errors, and then only when retention of the report would clearly result in an injustice to the Soldier (see fig 4-2 for an example format for a request for minor administrative correction; see DA Pam 623-3 for an example memorandum format for an administrative appeal).



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Appropriate Agency – Appendix F)

SUBJECT: Minor Correction to Evaluation Report for (Rated Soldier's Name, Rank, SSN, Report Period Covered)

1. This is a request for a minor correction to the subject evaluation report.
2. (Identify the specific portion of the requested change; state the entry as it now appears and as it should appear after correction.)
3. (Support the request with related documents, for example, orders, leave and earnings statements, or other documents.)
4. (Unit Requests must be limited to very minor corrections to recently-submitted Reports. Any significant changes must be requested by the rated Soldier.)
5. (Provide a POC and DSN number, or a commercial number if DSN is not used or if the rated Soldier is an ARNG or USAR Soldier not on active duty.)

Encls

1. Copy of evaluation report
2. (Number and list enclosures of appropriate evidence)

(Signature block with mailing address,
if other than address on letterhead)

Figure 4–2. Sample format for a minor administrative correction memorandum

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 Army Special Review Board (ASRB) (para 4–12).

(1) Claims of inaccuracy of a substantive type pertain to—

- (a) DA Form 67–9, parts IV, blocks a, b, and d, V, VI, VII, and OER addenda.
- (b) DA Form 2166–8, parts IV and V.
- (c) DA Form 1059, parts 11–15.
- (d) DA Form 1059–1, parts 10–13.

(2) These are generally claims of an inaccurate or an unjust evaluation of performance or potential or claims of bias on the part of the rating officials (see DA Pam 623–3 for examples of formats of substantive appeals).

j. After resolution of the appeal, the appropriate reviewing agency (HQDA for active Army and USAR, NGB for ARNG) amends the rated Soldier's records, if appropriate. If the rated Soldier has been nonselected for promotion, the ARSB will also determine if promotion reconsideration is warranted as a result of the change to the OER, NCOER, or AER.

4–8. Timeliness

a. Because evaluation reports are used for personnel management decisions, it is important to the Army and the

rated Soldier that an erroneous 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 will require the appellant to submit his or her appeal to the ABCMR, in accordance with AR 15–185.

c. The ASRB will not accept appeals that are over 3 years old or appeals from Soldiers who are no longer on active duty or part of the USAR or ARNG.

d. Administrative appeals will be considered regardless of the time that has elapsed since the period of the report and a decision will be made in view of the regulation in effect at the time the evaluation report was rendered. The likelihood of successfully appealing a report diminishes, as a rule, with the passage of time. Prompt submission is, therefore, recommended.

4–9. Processing and resolution

a. Receipt of appeals will be acknowledged directly to the originator or requestor. The time required to process an appeal varies greatly depending on the complexity of the issues involved, the age of the evaluation being appealed, and so on. Appeals are processed in order of priority (see para 4–10) and by date of receipt. Appeals should be submitted no later than 9 months prior to a promotion board convene date.

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. Claims of substantive inaccuracy or injustice will be forwarded directly to the ASRB for adjudication. The Evaluation Appeals Branch (HQDA or NGB) (see app F) will verify the priority of the case by obtaining the information from either the Soldier’s OMPF or the Soldier’s career branch.

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 ASRB will make a determination whether promotion reconsideration by one or more special boards are 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 board’s memorandum of notification will be filed in the performance portion of the OMPF with 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 portion 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 application to the next agency in the Army’s redress system, the ABCMR. The ABCMR is governed by AR 15–185.

4–10. Priorities

Appeals are processed in the order of priority 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 appealing DA Form 67–9, DA Form 1059, and DA Form 1059–1.*

(1) First in priority are appeals pertaining to officers who have been—

(a) Twice nonselected for promotion and given a directed discharge, release, or mandatory retirement date within 6 months.

(b) Selected for release within 6 months by an HQDA 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 in priority are appeals pertaining to officers who—

(a) Have not been selected for promotion at least once but who do not have a mandatory release date within 6 months as a result.

(b) Are on a pending promotion list removal as stated in AR 600–8–29.

(3) Third in priority are appeals not eligible for higher priority.

b. *For NCOs appealing DA Form 2166–8 and DA Form 1059.*

(1) First in priority are appeals pertaining to NCOs who have been—

(a) Twice nonselected for promotion in the primary zone of consideration and are within 6 months of discharge, release from service (expiration term of service), or mandatory retirement date.

(b) Selected for release under the HQDA Qualitative Management Program or ARNG or USAR Qualitative Retention Program.

(c) Selected for release from AGR by an AGR continuation board.

(d) Identified for referral within 6 months to an AGR continuation board.

(2) Second in priority are appeals pertaining to NCOs who have been nonselected for promotion in the primary zone of consideration at least once, but who do not have a mandatory release date within 6 months.

(3) Third in priority are appeals not eligible for higher priority.

4-11. Burden of proof and type of evidence

a. The burden of proof rests with the appellant. Accordingly, to justify deletion or amendment of an evaluation report, the appellant will produce evidence that establishes clearly and convincingly that—

(1) The presumption of regularity referred to in paragraphs 3-36a and 4-7a 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 scheme used by the organization during the period of the report being appealed.

(2) Assignment, travel, or TDY orders.

(3) Electronic BN/BDE S1, military personnel office, or administrative human resources documents.

(4) Leave records.

(5) Organization manning documents.

(6) Hospital admission, diagnosis, and discharge sheets.

(7) Statements of military personnel officers or other persons who know about the situation pertaining to the report in question. (See DA Pam 623-3 for samples of formats for a letter requesting a third-party support statement and a prepared third party support statement.)

(8) The results of a CDR'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). Third parties are persons other than the rated officer or rating officials who have knowledge of the appellant's performance during the rating period. Such statements are afforded more weight if they are from persons who served in positions allowing them a good opportunity to observe firsthand the appellant's performance as well as interactions with rating officials. Statements from rating officials are also acceptable if they relate to allegations of factual errors, erroneous perceptions, or claims of bias. To the extent practicable, such statements will include specific details of events or circumstances leading to inaccuracies, misrepresentations, or injustice at the time the report was rendered. The results of a CDR'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 equivalent) or academic counseling forms may be used to facilitate writing an evaluation. However, these are not controlling documents in terms of what is entered on the evaluation report form. Therefore, no appeal may be filed solely because the information on a support form (or equivalent) or counseling form was omitted from an evaluation, or because the comments of rating officials on the evaluation report form are not identical to those in the applicable support form or counseling form. 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 Soldier. In addition, no appeal may be filed solely based on the contention that the appellant was never counseled. Evaluation reports written based on the findings of an AR 15-6 investigation will include a copy of the AR 15-6 investigation as an enclosure to the appeal. In addition, if there was a CDR'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 senior rater's profile reflects the total of all reports on officers in a single grade written by the senior rater and received and accepted at HQDA as of the day the report is accepted. Reports may be delayed in electronic submission, mail handling, and administrative processing. The official "Senior Rater Profile" report maintained at HQDA on a given day may be different from that in any personal record. Appeals based on differences between privately-kept records and HQDA-maintained "Senior Rater 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 Soldier is in a zone of consideration for promotion, command, or school selection. Accordingly, a subsequent statement from a rating official that he or she rendered an inaccurate "COM" or lower evaluation of a rated officer's potential in order to preserve "ACOM" 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.

4-12. Army Special Review Board

a. The ASRB is established under the provisions of HQDA Memorandum 600-1 and operates within the guidelines established in this regulation. The board, which is comprised of senior officers and NCOs, evaluates and acts on evaluation report appeals. The president and assistant president for each board, under the direct authority and supervision of the Army's Director of Military Personnel Management, are delegated the authority to take final action on evaluation report appeals on behalf of 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 practicable, cases will be considered by at least one board member whose background is similar to that of the appellant. No members will vote on a case in which they were personally involved or knowingly have any bias for or against the parties involved. To the extent possible, voting members will be senior to the appellant.

b. Board proceedings are administrative and non-adversary; the provisions of AR 15-6 do not apply. Although not bound by the rules of evidence for trials by court-martial or other court proceedings, the board does keep within the reasonable bounds of evidence that are competent, material, and relevant. Neither the appellant nor his or her agent is authorized to appear before the board. The board may obtain more information from the appellant, the rating officials, persons in the chain of command, or anyone thought to have firsthand knowledge of the case. The appellant will generally be contacted by the appropriate Evaluation Appeals Branch (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.

4-13. Appeals based on substantive inaccuracy

a. A decision to appeal an evaluation report 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 report, the appellant will state succinctly what is being appealed and the basis for the appeal. For example, the appellant will state—

- (1) Whether the entire 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 his or her 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. The following factors are to be considered:

- (1) The evidence must support the allegation. The appellant needs to remember that the case will be reviewed by impartial board members who will be influenced only by the available evidence. Their decision will be based on their best judgment of the evidence provided.
- (2) Correcting minor administrative errors or deleting one official's rating does not invalidate the report.

4-14. Preparation

Steps for the preparation of an appeal are contained in table 4-2. Additional guidance is provided in DA Pam 623-3.

Table 4–2
Appeal preparation and checklist

Step	Work center	Action required
1	Appellant or interested party	Review this chapter and DA Pam 623–3 to determine if an appeal submission is warranted.
2	Appellant or interested party	Prepare the appeal in memorandum format on letterhead or white bond paper.
3	Appellant or interested party	Ensure the appeal identifies the full name, SSN, rank, branch of the rated Soldier, 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 or interested party	Ensure the first paragraph indicates the appeal is being submitted under the provisions of AR 623–3. 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.
5	Appellant or 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, signed 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 original statements or official copies, if the original document is not provided. (f) A copy of the evaluation report 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 or interested party	Submit completed appeal in original and one duplicate copy directly to the appropriate agency: (a) For all active Army and USAR appeals: U.S. Army Human Resources Command (AHRC–PDV–EA) Evaluation Appeals 1600 Spearhead Division Avenue, Dept. #470 Fort Knox, KY 40122–5407 (b) For ARNG officer appeals: Chief, National Guard Bureau (ARNG–HRH) Evaluation Appeals 1411 Jefferson Davis Highway Arlington, VA 22202–3229 (c) For ARNG NCO appeals: (1) For administrative error: The State AG (appropriate state) (2) For substantive error: Chief, National Guard Bureau (ARNG–HRH), Evaluation Appeals 1411 Jefferson Davis Highway Arlington, VA 22202–3229
7	Appellant or 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 the complete original evaluation report and copy of appeal in a secure container, mailing envelope or heavy wrapping, as required.
8	Appellant or interested party	Notify the appropriate agency promptly if mailing address or priority changes. Appellants are notified, in writing, of appeal decisions. Appellants will receive a copy of the ASRB's case summary. If appropriate, the appellant may 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.

Appendix A References

Section I Required Publications

AR 600-9

The Army Weight Control Program (Cited in paras 3-14c, 3-26a(2), 3-27a(6), 3-35a(13), and 3-35b(1)(d).)

AR 600-20

Army Command Policy (Cited in paras 2-5b(1)(a), 2-5b(1)(b), 2-5c, 3-5b, 3-20a, 3-25a, 3-25a(9), 3-54c, 3-55, and E-4a(1).)

DA Pam 600-3

Commissioned Officer Professional Development and Career Management (Cited in paras 3-6a(3)(b), B-2b, B-2b(3)(c), B-2c(1), B-2c(2)(b), and D-1.)

DA Pam 623-3

Evaluation Reporting System (Cited in paras 1-1, 1-6b, 1-6c, 1-8f, 1-9a, 1-10a, 2-7a(4), 2-7a(7), 2-10a(1), 2-10c(2), 2-11a(1), 2-11a(2), 2-11b, 2-12h, 2-15b(5), 2-15c(1), 2-15d(1), 2-15e, 2-16a, 2-17a(3), 2-17c(2)(a), 2-18e, 2-19b(2), 2-19c, 2-19d, 2-20b(1)(b), 3-1, 3-2d, 3-2j, 3-3, 3-4a, 3-4d, 3-6a(3)(a), 3-6b(2), 3-6b(3), 3-7a(1)(c), 3-7a(3)(a), 3-7b(2)(b), 3-7b(2)(c), 3-8a(2), 3-9a(3)(b), 3-9b(3)(a), 3-9b(3)(c), 3-10, 3-11a(3), 3-11f(1), 3-12c, 3-13f, 3-14, 3-14c, 3-14d, 3-16b(2), 3-19f, 3-20d(2), 3-26a, 3-27a, 3-27a(6), 3-28b(1), 3-28b(4), 3-33, 3-33a, 3-33b(2), 3-33c(2), 3-33d(1), 3-33f, 3-33l(1), 3-34a(1), 3-34a(2), 3-35a(4), 3-35c(1), 3-36b, 3-36e(2)(a), 3-36e(2)(b), 3-37, 3-38, 3-38b, 3-39a, 3-39b, 3-39c, 3-40b(2), 3-40c, 3-42a, 3-42b, 3-47, 3-49, 3-49b(1), 3-49i, 3-54d, 3-54g(3), 3-55d, 4-1b, 4-1c, 4-2b, 4-7g, 4-7h(4), 4-7i(2), 4-11c(7), 4-11d, 4-14, E-1b, E-1c, G-1, G-4d, G-4e, G-5k, G-5k(1)(g), H-1, H-2b(9), H-10a, H-11a, H-13b, H-15a(2), H-16a, H-16c(3), and I-4f.)

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.

AR 1-201

Army Inspection Policy

AR 11-2

Managers' Internal Control Program

AR 15-6

Procedure for Investigating Officers and Boards of Officers

AR 15-185

Army Board for Correction of Military Records

AR 25-52

Authorized Abbreviations, Brevity Codes, and Acronyms

AR 25-55

The Department of Army Freedom of Information Act Program

AR 27-1

Judge Advocate Legal Services

AR 27-10

Military Justice

AR 40-501

Standards of Medical Fitness

AR 135-91
Service Obligations, Methods of Fulfillment, Participation Requirements, and Enforcement Procedures

AR 135-175
Separation of Officers

AR 135-200
Active Duty for Missions, Projects, and Training for Reserve Component Soldiers

AR 140-145
Individual Mobilization Augmentation (IMA) Program

AR 165-1
Army Chaplain Corps Activities

AR 200-1
Environmental Protection and Enhancement

AR 335-15
Management Information Control System

AR 340-21
The Army Privacy Program

AR 350-1
Army Training and Leader Development

AR 350-10
Management of Army Individual Training Requirements and Resources

AR 350-100
Officer Active Duty Service Obligations

AR 351-3
Professional Education and Training Programs of the Army Medical Department

AR 351-23
Advanced Management Training for Senior Officers

AR 380-5
Department of the Army Information Security Program

AR 385-10
The 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 600–8–104

Military Personnel Information Management/Records

AR 600–37

Unfavorable Information

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 735–5

Policies and Procedures for Property Accountability

DA Memorandum 600–1

Evaluation Report Appeals

DA Pam 600–4

Army Medical Department Officer Development and Career Management

DA Pam 611–21

Military Occupational Classification and Structure

DODD 5000.52

Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program (Available at <http://www.dtic.mil/whs/directives/>.)

DODD 5200.2

DOD Personnel Security Program (Available at <http://www.dtic.mil/whs/directives/>.)

FM 6–22

Army Leadership: Competent, Confident, and Agile

Joint Publication 1–02

Department of Defense Dictionary of Military and Associated Terms (Available at http://www.dtic.mil/doctrine/dod_dictionary/.)

Personnel Policy Guidance

Army G–1 Personnel Policy Guidance (PPG) (Available at <http://www.armyg1.army.mil/>.)

TC 3–22.20

Army Physical Readiness Training

Whistleblower Protection Act of 1989

10 USC 175

Reserve Forces Policy Board

5 USC 301

Departmental regulations

5 USC 3132

Definitions and exclusions

10 USC 1034

Protected communications; prohibition of retaliatory personnel actions

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 709

Technicians: employment, use, status

Section III

Prescribed Forms

Except where otherwise indicated below, forms are available as follows: DA Forms are available on the Army Publishing Directorate Web site (<http://www.apd.army.mil>) and at the "My Forms" Portal on AKO (<https://myforms.ecms.army.mil/wps/myportal>); DD Forms are available from the OSD Web site (<http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm>).

DA Form 67-9

Officer Evaluation Report (Prescribed in paras 1-1, 1-8a(4)(a), 2-6, 2-11a, 2-12h, 2-12i, 2-14a, 2-14b, 2-15c, 2-17a, 2-22c, 3-3a, 3-6a, 3-7a, 3-8a, 3-9a, 3-17a, 3-18d, 3-26, 3-28b, 3-33a, 3-33c, 3-35, 3-46, 3-54, 3-56a, 3-59, 4-2a, 4-7h, 4-7i, 4-10a, 4-11f, B-2, B-3, C-7, D-3, E-1, E-2, E-6, G-5, and H-6.)

DA Form 67-9-1

Officer Evaluation Report Support Form (Prescribed in paras 1-1, 1-8d(1), 2-12d(1), 2-12f, 2-13a, 2-14a(4), 2-15c(2), 3-2d, 3-3a, 3-4, 3-6a, 3-7, 3-8, 3-9, 3-45, 4-1b, C, C-1, C-5, E-1, and G-4.)

DA Form 67-9-1a

Developmental Support Form (Prescribed in paras 1-1, 1-8d(1), 1-1, 2-10c(1)(a), 2-12d(1), 2-12f, 2-13, 2-15c(2), 3-3a, 3-4, 3-7, 3-9, 3-45, C, and C-5.)

DA Form 67-9-2

Army Senior Rater Profile Report (Prescribed in paras 1-8d(1), 3-9a, and 3-11.)

DA Form 2166-8

NCO Evaluation Report (Prescribed in paras 1-1, 1-8a(4)(a), 1-8d, 2-6, 2-11b, 2-12, 2-14, 2-15, 2-19, 2-22, 3-3b, 3-7b, 3-10, 3-17, 3-33, 3-35, 3-41, 3-55, 3-56b, 4-2a, 4-7, 4-10b, 4-11f, and F-1.)

DA Form 2166-8-1

NCOER Counseling and Support Form (Prescribed in paras 1-1, 1-8d(2), 2-12, 2-15d, 3-2d, 3-3b, 3-4, 3-5b, 3-7b, 3-9b, 3-45, 4-1b, and I-4.)

DA Form 1059

Service School Academic Evaluation Report (Prescribed in paras 1-1, 1-8a(4)(b), 2-5d(1), 2-6, 2-9, 2-12, 2-14, 2-5, 2-17c, 2-18e, 2-20c(1), 2-22, 3-2j, 3-3c, 3-14, 3-17a, 3-27, 3-33, 3-35, 3-49, 3-52, 4-2a, 4-7, 4-10, 4-11, D-3, E-1, G-5, and H-11.)

DA Form 1059-1

Civilian Institution Academic Evaluation Report (Prescribed in paras 1-1, 1-8a(4)(b), 2-5d(2), 2-6, 2-9b, 2-12i, 2-14, 2-15, 2-17c(2)(b), 2-22, 3-2j, 3-3c, 3-15, 3-17a, 3-27, 3-33a(3), 3-35c, 3-50, 3-51c, 3-52, 4-7h, 4-7i, 4-10, D-3, E-1, G-5, and H-11.)

Section IV**Referenced Forms****DA Form 11-2**

Internal Control Evaluation Certification

DA Form 87

Certificate of Training

DA Form 1380

Record of Individual Performance of Reserve Duty Training

DA Form 2028

Recommended Changes to Publications and Blank Forms

DD Form 214

Certificate of Release or Discharge from Active Duty

OGE Form 450

Executive Branch Confidential Financial Disclosure Report (Available at <http://www.usoge.gov/>.)

SF 278

Executive Branch Personnel Public Financial Disclosure Report and Schedule A (Available at <http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm>.)

Appendix B**Evaluation of Warrant Officers****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 are different from those of commissioned officers. The following differences will be considered when evaluating warrant officers:

(1) Warrant officers are appointed to serve in technical MOSs. Thus, their professional development is aimed at increasing competence in their specialties.

(2) Warrant officers will not be evaluated on their potential to fill positions of responsibility outside their specialties, except for DA/Army Command levels (for example, Army Material Command, Army Forces Command, and TRADOC levels) or MOS immaterial positions within the Army where duties require broad-spectrum knowledge of the organization and the functions of the Warrant Officer Corps, but are not directly associated with any specific branch or MOS.

b. Career patterns. Career patterns will be considered when evaluating warrant officers. DA Pam 600-3 contains general models that can aid in assessing self-development, professional preparation, and potential.

(1) *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 higher grade in their primary or additional MOS. Exceptions require HQDA approval and will be explained in DA Form 67-9, part III, block c.

(2) *Special emphasis areas.* In addition to the requirement to maintain technical and tactical competence in their MOS, warrant officers will demonstrate performance and potential as Army officers. They will display leadership qualities, managerial talents, and technical and tactical competence in both their principal duty and in special emphasis areas involving other missions, tasks, and objectives that support the primary organizational mission. These areas include—

(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 it will not be assumed that he or she is able to do all types of technical work. His or her training and experience in his or her area of expertise will be considered. If a warrant officer performs duty in 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 selections (for example, promotion, retention, professional development, significant assignments), rating officials need to understand the progression pattern in the officer's specific career field.

(a) Like commissioned officers, warrant officers' careers progress in positions of increased responsibility. Unlike commissioned officer positions, the skill hierarchy in warrant officer positions of responsibility is not always parallel to organizational echelons. For example, in some MOSs, company-level technical and tactical skill requirements may be greater than those required in the same MOS at the BN level.

(b) Progression within an MOS is aimed at preparing the officer to assume positions of increased responsibility within their career field and is not always associated with progression in the Army's organizational structure.

(c) Developmental opportunities to consider when evaluating potential in each career field are found in DA Pam 600-3. The highest potential evaluations will go to those who have, by demonstrated performance, shown that they are qualified for appropriate training and assignment.

(d) Performance evaluation will include the full range of warrant officer duties, technical and tactical expertise in the MOS, and leadership and managerial skills.

c. Education. Rating officials will be aware of educational requirements in the warrant officer's career field when evaluating potential.

(1) The Officer Education System, described in DA Pam 600-3, summarizes the training warrant officers receive to become qualified as leaders, technical operators, maintainers, administrators, and managers.

(a) Technical qualification may be obtained through formal civilian or military schooling, OJT, and/or individual study.

(b) The minimum civilian education prerequisite for appointment as a warrant officer is normally high school completion.

(c) The HQDA civilian education objective is attainment of an associate degree in a MOS-related discipline by the 5th year of warrant officer service and a baccalaureate degree prior to promotion to CW4.

(2) The relationship of the evaluation to a warrant officer's educational career pattern will be recognized. Technical advances and new equipment and concepts dictate that warrant officers stay technically and tactically proficient.

(a) The functional and career training requirements of warrant officers' MOSs are determined by MOS proponents and approved by HQDA under the Total Warrant Officer System.

(b) When evaluating educational progress and potential for future schooling, rating officials will refer to DA Pam 600-3 for requirements in each career field. Rating officials will comment in the performance section of the OER on any recently-increased educational qualifications and on individual efforts to attain HQDA civilian educational goals.

(c) Comments will be made in DA Form 67-9, part VII, block c, on whether individual warrant officers 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 I, block f.* Enter the warrant officer's PMOS.
- b. Part III.* Enter the MOS of the warrant officer's principal duty in part III, block b. If this entry is not the same as the PMOS in part I, block f, or an additional MOS held by the warrant officer, refer to the HQDA career management approval in part III, block c.
- c. Part IV.* The rater will compare the rated officer's professionalism with the norms and values that apply to all officers regardless of rank 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 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 (or equivalent), and 67-9-1a (if applicable). It is essential for personnel involved in the evaluation process to have a clear understanding of both this appendix and AR 165-1.

C-1. Chaplain religious support roles

The needs and roles pertaining to military religious support in any given situation must be clearly defined. Primary responsibility for religious support belongs to the CDR. CDRs will fulfill their responsibility for the total religious welfare of their command by ensuring that DA Form 67-9-1 (or equivalent) is used to discuss the performance of chaplains (to include staff officer and religious support responsibilities). Chaplains fulfill their responsibilities for military religious support by—

- a.* Realizing that each opportunity for religious support is unique.
- b.* Carefully analyzing their capabilities.
- c.* Understanding their denominational obligations and responsibilities.
- d.* Engaging in the organizational planning and execution processes for all operations and programs to meet the religious support needs of the organization.
- e.* Meeting the various religious needs of the community of faith and the represented distinctive faith groups.
- f.* Executing assigned unit and area coverage responsibilities.

C-2. Chaplain professional training and experience

Chaplains are normally ordered to active duty as 1LTs and are promoted to CPT within a few months after coming on active duty. Some chaplains may enter active duty as a CPT based on their number of years of civilian pastoral experience or a USAR rank. Rating officials will understand that chaplains, with a given date of rank, generally have less military experience than their Army competitive category officer peers with the same date of rank. This will be considered when evaluating initial-tour chaplains. Additionally, the requirements for seminary training and pastoral experience before entry on active duty will vary among denominations. As a result, chaplains with the same date of rank and similar military experience may have significant variations in age, training, and professional experiences. These unique differences will not influence evaluations in ERS; evaluations will be based on the chaplain's performance and experience.

C-3. Chaplain rating chain

There will be a supervisory chaplain in the rating chain when possible. For example, a BDE chaplain, as the supervisory chaplain, will be the intermediate rater for a BN chaplain. In the absence of a supervisory chaplain, a senior chaplain familiar with the rated chaplain's performance will be designated as the intermediate rater if qualifications are met (see para 2-6 for intermediate rater qualifications).

C-4. Religious support coverage

Chaplains are assigned in accordance with the Command Master Religious Program to provide unit, area, and denominational coverage. Because of the dispersion of troops and a shortage of particular denominational chaplains,

CDRs 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 (or equivalent), and 67-9-1a (if applicable). 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 his or her 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 CDRs to understand the religious, moral, and ethical impact of issues. This relationship will be issue-oriented, non-blaming, 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 "systems sense." Chaplains will understand and appreciate the Army systems in which religious support is performed and how the chaplain can influence the spiritual, ethical, and moral good of the community. The systems sense normally develops as chaplains progress in rank and staff experience. This sense of systems integration is a primary contribution of the chaplain to the CDR'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 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.

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.

d. Cooperate in the total command religious program and ensure religious support for units that have no assigned chaplains.

e. Assist the CDR in planning for the resourcing and execution of all items of the Religious Support Program.

f. Help identify for the command potentially disruptive social patterns that violate federal standards for EO.

g. Enlist, train, and involve persons in programs of worship, community involvement, and religious education.

h. Facilitate healthy interpersonal relationships in congregational activities, work groups, Family life, and community activities.

i. Use creative methods of instruction that involve people in personal and spiritual growth.

j. Establish rapport with personnel (to include military personnel, authorized civilians, retired personnel, and their families) of varied religious, cultural, and social backgrounds.

k. Effectively manage current resources and identify additional resources needed to implement religious programs.

l. Advise and assist RC units and personnel concerning military religious support.

m. Perform religious support in crisis.

n. Provide ethical and moral leadership across the full spectrum of operations.

- o. Provide instruction to Soldiers and Family members to develop their understanding in such areas as relationships, drug and alcohol awareness, Family separation, suicide awareness, and stress management.
- p. Prepare for mobilization and deployment.
- q. Integrate and utilize chaplain assistants in the accomplishment of the religious support mission.

C-7. DA Form 67-9

The following guidance will assist the rating officials to complete certain portions on DA Form 67-9:

a. *Part III, block a.* Select the most appropriate, specific functional duty position title. The following representative duty position titles may be used, although the list is not all inclusive:

- (1) Chaplaincy resources manager.
- (2) Clinical pastoral education supervisor.
- (3) Command, unit (that is, BN, BDE, brigade combat team (BCT), division, Army command), or organization chaplain.
- (4) Community pastor.
- (5) Confinement facility chaplain.
- (6) Family life center chaplain.
- (7) Chaplain hospital clinician.
- (8) Chaplain pastoral coordinator.
- (9) USAR chaplain coordinator.
- (10) Chaplain Service school instructor.
- (11) Plans and operations chaplain.
- (12) Operations and staff support chaplain.
- (13) Other areas of interest that do not require full-time activity but provide significant ministries will be added to the above list as additional duties. The following list is representative:
 - (a) Supervisory chaplain (number of chaplains supervised).
 - (b) Staff and parish development consultant.
 - (c) Chaplain training manager (supervises planning and execution of unit ministry team training).
 - (d) Religious education supervisory chaplain.
 - (e) Area ministry.

b. *Parts V, block b, VI, and VII, block d.* 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 V, block b, VI, and VII, block c.* 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 a, above. If appropriate, cite instances of the chaplain's specific performance using paragraph C-6.

d. *Clinical pastoral education or Family Life Chaplain Training Supervisory in Training Program.* Chaplains participating in the clinical pastoral education or Supervisory in Training Program will receive an AER for the 1st year in the program and OERs for subsequent evaluations during the program.

Appendix D Special Considerations for Rating Judge Advocate General's Corps Officers

D-1. Overview

The mission of the JAGC is to support the total Army mission with accurate, proactive legal advice on all issues affecting the Army and the Joint force, while continuing to deliver quality legal services to Soldiers, retirees, and their Families. This legal support encompasses six core legal disciplines: administrative law, civil law (including contract, fiscal, and environmental law), claims, international law, legal assistance, and military justice. All judge advocates (JAs) are bound by a strict code of professional responsibility, and therefore are required at all times to provide legal, accurate, and competent advice. Refer to DA Pam 600-3 for more details on the roles and responsibilities of JAGC officers.

D-2. Evaluation of Judge Advocate General's Corps officers

a. Only TJAG, the Deputy Judge Advocate General, and commissioned officers of the U.S. Army judiciary may serve as rater, intermediate rater, or senior rater of a JAGC officer assigned to the U.S. Army judiciary as a military judge or to the U.S. Army Legal Services Agency as a military magistrate.

b. No convening authority or any member of 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 he or she zealously represented as counsel any accused or respondent before court-martial or administrative board proceedings.

d. JAGC officers assigned to BCTs will have a rating chain that is in accordance with paragraph 2-3 and will normally be considered as serving under dual supervision; therefore, paragraph 2-22 applies.

(1) BDE JAs will, whenever possible, be rated by their local SJA and senior rated by the BCT CDR.

(2) Trial counsel officers will normally be rated by the BDE judge advocate, intermediate rated by the BCT executive officer, and senior rated by the SJA.

D-3. Evaluating officer detailed to on-the-job training

a. Officers attending law school under TJAG's FLEP will be evaluated for periods of OJT, as described in paragraph 3-51. When evaluating these officers, consider their grade, experience, and schooling. They will not be compared with experienced lawyers.

b. For officers taking part in the FLEP, the following entry will be placed in DA Form 67-9, part III, block c: "Officer is a full-time, active-duty student attending law school at Government expense under AR 27-1. On-the-job training continues in the summer when school is not in session."

c. Upon completion of FLEP, and while still affiliated with a university education program pending successful completion of a state bar exam, DA Form 1059-1 will be used to comment on any non-judge advocate duties performed after the officer successfully graduates law school but before the officer successfully completes a state bar examination. A FLEP officer completing BOLC is required to receive a DA Form 1059.

Note. This period of time will also be accounted for as nonrated time using the appropriate nonrated time codes on the rated officer's initial tour of extended active duty OER. It will cover the period since the "THRU" date of the last JAGC-OJT OER and before the first duty days performed as a JAGC officer.

D-4. Initial tour of extended active duty

a. An OER will be rendered upon completion of 120 duty days as a JAGC officer, regardless of prior service in a branch other than JAGC, in a principal duty assignment under a single rater as detailed in paragraph 3-52. This applies only if no report has been made during the current period of service.

b. This type of evaluation report applies only to officers who complete law school under TJAG's FLEP.

c. Officers programmed for attendance at BOLC will not be evaluated in accordance with this paragraph before completing the course.

D-5. Judge Advocate General's Corps officers assigned to the U.S. Army Trial Defense Service

These officers are not considered to be under dual supervision (see para 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 (DC), Veterinary Corps (VC), Army Nurse Corps (AN), medical speciality corps (SP), medical service corps (MS) resident, intern, and fellowship students in graduate health education (also referred to as Long Term Health Education and Training). Special instructions for rating MC, DC, VC, AN, SP, and MS residents, interns, and

fellowship students are specified below. The evaluation report forms will be completed as prescribed in chapter 3, unless indicated otherwise in this appendix.

a. DA Form 67-9-1 (or equivalent).

(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 area of concentration (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 form will be completed in accordance with DA Pam 623-3.

(1) Part I, block 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.

(3) Part III, Duty Description, comprised of three parts:

(a) Principal Duty Title (part III, block a). The duty title will parallel the duty title shown on the DA Form 67-9-1 (or equivalent).

(b) Duty AOC (part III, block b). Enter the specialty for which the rated officer is being trained.

(c) Significant Duties and Responsibilities (part III, block c). Refer to DA Form 67-9-1, part IV, block a (or equivalent). This portion allows the rater to describe the rated officer's program, to include academic and practicum requirements during the rating period. When utilized most raters will use part III, block a of DA Form 67-9-1 to help them complete this section. This information is particularly important to HQDA selection boards; therefore, raters will record it with thought and detail.

(4) Part IV, Performance Evaluation-Professionalism, comprised of two parts:

(a) Army Values (part IV, block a). The rater completes this item. Listed Army Values define professionalism for the Army officer (DA Pam 623-3). Evaluation of each value will be in the context of the graduate health education experience, to include clinical and academic environments. A list of the Army Values and their definitions is provided in DA Pam 623-3.

(b) Leader Attributes, Skills, or Actions (part IV, block b). Complete by placing an "X" in either the "YES" or "NO" box and selecting six attributes/skills/actions (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 V, block b. Comments on "NO" entries are mandatory.

(5) Part V, Performance and Potential Evaluation (rater) comprises of the following three parts:

(a) Performance Rating (part V, block a). Complete as prescribed.

(b) Performance Comments (part V, block b). Comment on specific aspects of performance and potential. This portion is most significant because it provides HQDA with a detailed account of the participant's progress in his or her 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) Potential Comments (part V, block 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. DA Forms 1059 and 1059-1. These forms will be prepared by Service schools and civilian institutions in accordance with DA Pam 623-3.

d. Rating officials for MC, DC, VC, AN, SP, and MS resident, intern, and fellowship students in graduate health education.

(1) *MC and DC officers.* CDRs will designate as rating officials those staff officers directly responsible for the education program of the rated officer at the lowest practical level. Exceptions to paragraphs 2-5, 2-6, and 2-7 are—

(a) The rating officials need not be senior to the rated officer; however, the senior rater will be senior in grade or date of rank to the rater.

(b) The teaching chiefs for the Dental Graduate Education Programs are authorized to rate officers senior to them in grade and date of rank. This exception will be used only when the teaching chief totally supervises the student's graduate level instructions and day-to-day duties in the educational environments.

(2) *Other AMEDD officers.* These evaluation reports are completed as directed by the proper authority.

(3) *Change in type of internship.* If an officer changes from a rotating (or flexible) internship to a straight internship in an expanded residency specialty after 90 days but before completion of the internship year, 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. Newly commissioned Army Medical Department officers

Newly commissioned AMEDD officers begin their military careers with the necessary skill sets to perform their assigned duties even before successfully completing the Officer Basic Leaders Course (phases I and II). These officers are entitled to receive mandatory and optional evaluation reports as detailed in chapter 3. In order to receive an evaluation report, the rated officer must have been assigned under a rater for 90 calendar days.

Note. For USAR AMEDD TPU, DIMA, and drilling IRR officers and ARNG AMEDD officers, the minimum required rating period is 120 calendar days, versus 90 calendar days (see apps G and H).

The senior rater will comment in DA Form 67-9, part VII, block c, indicating that the officer has not yet completed the basic course as of the “THRU” date of the report. The “FROM” date on the first OER for an AMEDD officer will be his or her commissioning date.

E-3. Rating officials for military physician assistants

Military physician assistants work directly under the control of a supervising physician in performing their patient care duties. This supervising physician will be included as either the rater or the senior rater of the physician assistant in all cases. If serving as the rater, the supervising physician may be equal in rank but not necessarily senior by date of rank to the physician assistant. When the supervising physician is not assigned to the same organizational element, a case of dual supervision may exist. In this case, the CDR will designate the other rating official (rater, intermediate rater, or senior rater), as indicated in paragraph 2-22.

E-4. Junior Army Medical Department colonel commanders as senior raters or reviewers

The following conditions will be met in order for a junior AMEDD COL CDR to senior rate or review officers and NCOs in their command.

a. Officer evaluation reports. As an exception to paragraph 2-7a(10) and table 2-1, CDRs junior by date of rank to the rated officer and rating chain may serve as senior raters, provided—

- (1) He or she has been appointed as a CDR by the direction of the President of the United States (see AR 600-20).
- (2) He or she is authorized to rate the rated officer’s rater and/or intermediate rater in accordance with this regulation (see para 2-5).

b. Noncommissioned officer evaluation reports. CDRs who are junior by date of rank to the rater may serve as senior raters. CDRs who are junior by date of rank to the rater and senior rater may serve as the reviewer. These provisions apply only if the requirement of paragraph a(1), above, is met and they are authorized to rate the rated NCO’s rater and/or senior rater.

E-5. Rating officials for U.S. Army Medical Command, subordinate Army Medical Commands, activities, and field operating agencies

The following rules apply to U.S. Army Medical Command (MEDCOM) and its field operating agencies, regional medical commands (RMCs), U.S. Army Medical Department Center & 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 U.S. Army Veterinary Command (VETCOM), U.S. Army Regional Veterinary Command (RVC), U.S. Army District Veterinary Command (DVC), and their respective subordinate activities.

a. Major subordinate CDRs, MEDCOM, will be evaluated as follows:

(1) The CDRs, North RMC, U.S. Army Medical Department Center & 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 CDRs, Great Plains RMC Southeast RMC, and Western RMC, will be rated by the installation CDR and senior rated by the CG, MEDCOM.

(3) The Deputy Commander-in-Chief, U.S. Army Europe, will rate the European RMC CDR. The senior rater will be the CG, MEDCOM, regardless of date of rank.

(4) The Pacific RMC CDR will be rated by the CDR, U.S. Army Pacific, and senior rated by CG, MEDCOM, regardless of date of rank.

b. When none of the above rules can be applied, the CG, MEDCOM, will be the rater and senior rater for the major subordinate CDR concerned. The installation CDR 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 COLs assigned to Headquarters, MEDCOM, and COLs rated by MEDCOM subordinate CDRs (this exception does not permit these officers to rate COLs in command positions, or to serve as both rater and senior rater for the same rated officer):

(1) The Assistant Chief of Staff, Health Policy and Services, MEDCOM, for all assigned or attached AMEDD COLs, except for those in the DC and VC.

(2) A COL serving as Chief of Staff, MEDCOM, for all assigned or attached AMEDD COLs.

- (3) The Chief of Staff, U.S. Army Medical Department Center and School, for all assigned or attached COLs.
- d.* The installation or community CDRs and the RMC CDRs will rate and senior rate the U.S. Army medical department activity (MEDDAC) and U.S. Army Aeromedical Center CDRs. The senior officer will serve as the senior rater.
- e.* Following are the rating chain rules for the DENCOM, regional dental command, U.S. Army Dental Activity (DENTAC), active Army CDRs, and executive officers:
- (1) The DENCOM CDR will be rated and senior rated by the CG, MEDCOM.
 - (2) The DENCOM CDR will establish the rating schemes for the regional dental command, DENTAC, active Army CDRs, and executive officers.
- f.* Rating chain rules for VETCOM, RVC, DVC CDRs, and VC officers are as follows:
- (1) The VETCOM CDR will be rated and senior rated by the CG, MEDCOM.
 - (2) The VETCOM CDR will rate the RVC CDRs. The senior rater will be the RMC CDR, grade or date of rank permitting.
 - (3) The RVC CDR will rate DVC CDRs. The senior rater will be the VETCOM CDR.
 - (4) The DVC CDR will rate branch VC officers. The senior rater will be the RVC CDR.
 - (5) The branch VC officers will rate section VC officers. The senior rater will be the DVC CDR, grade or date of rank permitting.
 - (6) The Headquarters, VETCOM will establish rating schemes not fitting into the categories listed above.
- g.* Deputy CDRs for administration (DCAs) are rated by—
- (1) The RMC CDRs for DCAs assigned to RMCs. RMC CDRs of general officer grade will also senior rate.
 - (2) The MEDDAC or field grade RMC CDR for DCAs assigned to MEDDACs or RMCs without general officer CDR. At the discretion of the CDR, the senior rater will be the RMC CDR or the installation CDR, grade or date of rank permitting.
- h.* Deputy CDRs for clinical services (DCCSs) are rated by—
- (1) The general officer RMC CDR, who will also senior rate.
 - (2) The field grade RMC CDRs with the MEDCOM CDR or a designated member of the Headquarters MEDCOM staff senior rating.
 - (3) The MEDDAC CDR and senior rated by the RMC CDR or a member of the RMC staff, grade or date of rank permitting. The Headquarters MEDCOM will designate the senior rater for those DCCSs who cannot be senior rated within the RMC.
- i.* The Chief Nurse is rated by—
- (1) The RMC DCCS (if senior by date of rank) or RMC CDR for the RMC chief nurse. If rated by the DCCS, the RMC CDR will senior rate. Those rated by the CDR will also be senior rated by the CDR, if of general officer grade. The MEDCOM CDR or a member of the Headquarters MEDCOM staff will senior rate those rated by a field grade RMC CDR.
 - (2) The DCCS (if senior by date of rank) or CDR will rate MEDDAC chief nurses. If rated by the DCCS, the CDR will senior rate. If rated by the CDR, the RMC chief nurse will intermediate rate, grade or date of rank permitting, and the RMC CDR (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.* CDRs, chiefs, or officers-in-charge of health clinics or installations where there is no RMC or MEDDAC, who also serve the installation CDR as director of health services, are rated by—
- (1) The installation CDR when senior to the rated officer, and junior in grade or date of rank to the RMC or MEDDAC CDR, exercising command control over the health clinic. The senior rater is the RMC or MEDDAC CDR.
 - (2) A member of the installation CDR's staff senior to the rated officer, when the installation CDR is senior to the RMC and/or MEDDAC CDR exercising command control over the health clinic. The senior rater is the RMC or MEDDAC CDR.
 - (3) The RMC or MEDDAC CDR exercising command control over the health clinic when the installation CDR is junior to the rated officer. The installation CDR will provide a letter of input for the rater's use in preparing the OER. The general officer RMC CDRs will also senior rate. In cases where the MEDDAC or field grade RMC CDR is the rater, the CG, 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 CDR will be the rater; the DCCS or chief, department of surgery, the intermediate rater, date of rank permitting; and the DENTAC CDR, the senior rater.
 - (2) For MEDDAC, the deputy DENTAC CDR will be the rater; the MEDDAC DCCS or the chief of surgery, the intermediate rater, date of rank permitting; and the DENTAC CDR, the senior rater.
- m.* The OER rating scheme for DC officers assigned to a DENTAC will include only DC 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 date of rank structure, contact the DCS for Personnel, MEDCOM, for assistance in establishing the proper rating scheme.
- p. Because of the unusually large number of AMEDD COLs assigned to the U.S. Forces Korea, the CDR, 18th Medical Command, may serve as senior rater for all AMEDD COLs in that organization.

E-6. Rating officials for Army Reserve and Army National Guard Army Medical Department officers

The following rules apply to USAR AMEDD IMA, DIMA, TPU, IRR, and Standby Reserve AMEDD officers assigned or attached to active Army AMEDD units for AT, ADT, IDT, ADOS-RC, ADOS, or CO-ADOS:

- a. An exception to the requirement for the rater to be senior to the rated officer by date of rank is granted, provided that the rater is the immediate supervisor and he or she meets the minimum time requirements.
- b. The senior rater will be senior to the rated officer and the rater, except as indicated below:
 - (1) COL CDRs may serve as senior raters for COL USAR and ARNG AMEDD officers assigned or attached to their unit for duty.
 - (2) In instances where the VETCOM or DENCOM CDR is serving as the rater, the senior rater will be the CG, MEDCOM.
- c. COL CDRs serving as senior raters for COL USAR and ARNG AMEDD officers will cite this paragraph as authority to senior rate on DA Form 67-9, part VII, block c. Under no circumstances will a COL CDR serve as both rater and senior rater.
- d. See paragraph G-5k for USAR AMEDD officers who are attached to and managed by the APMC.

**Appendix F
U.S. Army Human Resources Command and Other Addresses**

F-1. Addresses for various applications

Table F-1 provides USAHRC 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 Army and USAR personnel, <https://iperms.hrc.army.mil/rms/login.jsp>.
- b. For ARNG personnel, <https://statepermsompf.hoffman.army.mil/rms/login.jsp>.
- c. The USAHRC Web site offers access to OMPFs for all components, <https://www.hrc.army.mil/site/index.asp>.

Contact information	Soldier status and applicable form
U.S. Army Human Resources Command (AHRC-OPL) 1600 Spearhead Division Avenue, Room 3-2-13 Fort Knox, KY 40122-5407 DSN: 983-6411 Commercial: (502) 613-6411 Website: https://www.hrc.army.mil/site/protect/branches/officer/LeaderDev/CivSchool/Non_MEL_Programs_Main_Page.htm	Active Army and USAR DA Form 1059-1 (officers only)
U.S. Army Human Resources Command (AHRC-PDV-ER) Evaluation Processing 1600 Spearhead Division Avenue, Dept. #470 Fort Knox, KY 40122-5407 Note: IWRS is the tool to check the status of processing evaluation reports for all OERs and active Army and USAR NCOERs.	For officers: Active Army, USAR, and ARNG DA Form 67-9, DA Form 1059, and requests for HQDA review of DA Form 67-9 (when U.S. Army officer/DA civilian supplementary reviewer is not available) For NCOs: Active Army and USAR - DA Form 2166-8
U.S. Army Human Resources Command (AHRC-PDV-EA) Evaluation Appeals 1600 Spearhead Division Avenue, Dept. #470 Fort Knox, KY 40122-5407 DSN: 938-9022 Commercial: (502) 613-9022 E-mail: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil	For officers: Appeals and addenda for active Army and USAR DA Form 67-9, DA Form 1059, and DA Form 1059-1, Requests for Administrative Correction or Nonrated Time Statements (active Army and USAR) For NCOs: Appeals and addenda for active Army and USAR DA Form 2166-8, Requests for Administrative Correction or Nonrated Time Statements (active Army and USAR)

Table F-1**Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Services' personnel offices—Continued**

<p>U.S. Army Human Resources Command (AHRC-PDV-E) Evaluation Systems 1600 Spearhead Division Avenue, Dept. #470 Fort Knox, KY 40122-5407 Commercial: (502) 613-9019 DSN: 983-9019 E-mail: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil Note: Policy and initiative questions can start here but may also be addressed to specific component evaluation offices. Website: https://www.hrc.army.mil/site/Active/TAGD/ESPD(formerly_MSD)/ESO/ESO.htm (Policy information or clarification, and access to all evaluation report-related applications are available at the Web address.)</p>	<p>For officers: Active Army, USAR and CDR's/Commandant's Inquiries pertaining to DA Form 67-9, DA Form 1059, and DA Form 1059-1 For NCOs: DA Form 2166-8 (active Army and USAR), and DA Form 1059 Requests for "Senior Rater Profile", DA Form 67-9-2 (also available online)</p>
<p>National Guard Bureau, Army National Guard Readiness Center (ARNG-HRP-R) Office Evaluation Report Section 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>For ARNG officers: CDR's/Commandant's Inquiries for: DA Form 67-9, DA Form 1059, and DA Form 1059-1 Note: CDR's/Commandant's Inquiries and for ARNG DA Form 2166-8 and DA Form 1059 will be addressed to the rated NCO's State EPM. Requests for nonrated time statements (for ARNG service only) will be sent to the rated Soldier's State officer personnel manager (OPM) or EPM.</p>
<p>Chief, National Guard Bureau (ARNG-HRH) Appeals Section 1411 Jefferson Davis Highway Arlington, VA 22202-3231</p>	<p>Appeals and addenda for ARNG officer DA Form 67-9, DA Form 1059, and DA Form 1059-1 and substantive appeals for ARNG NCO DA Form 2166-8 and enlisted DA Form 1059. Note: Administrative appeals for ARNG DA Form 2166-8 and DA Form 1059 will be addressed to the rated NCO's State EPM.</p>
<p>U.S. Navy: Information Technology Center ITC 14, Building 3, Third Floor 2251 Lakeshore Drive New Orleans, LA 70145</p> <p>U.S. Air Force: Headquarters, Air Force Personnel Center Directorate of Personnel Services 550 C Street West Suite 7 Randolph AF Base, TX 78150-4709</p> <p>U.S. Marine Corps: Commandant, U.S. Marine Corps Headquarters, U.S. Marine Corps 2008 Elliot Road Quantico, VA 22134-5030</p>	<p>Non-U.S. Army Servicemember, DA Form 1059</p>

Appendix G

Managing U.S. Army Reserve Evaluation Reports

G-1. Overview

Evaluation reports for AGR Soldiers within the USAR will follow the rules established for active Army Soldiers. Unique USAR and AGR evaluation report preparation and processing instructions are also found in DA Pam 623-3.

a. This appendix addresses exceptions to policy and procedures found in chapters 1, 2, and 3 that are required to meet the unique characteristics of the USAR. All other provisions of the regulation apply, unless otherwise indicated. This appendix applies to the following USAR Soldiers:

- b.* TPU, DIMA, IMA, IRR, reinforcement training unit, and Standby Reserve (active list) Soldiers.
- c.* Soldiers on ADOS, ADOS-RC, and CO-ADOS, on AT, IDT, and ADT tours.
- d.* Evaluation reports for Soldiers in sanctuary or AGR status will be submitted under the same guidance as for active Army Soldiers.

e. Where situations do not appear to be covered by this chapter, send requests for clarification to the Evaluation Systems and Policy Office (see app F).

G-2. The evaluation process

The evaluation process starts with a counseling discussion between rater and the rated Soldier.

a. For TPU, DIMA, and drilling IRR Soldiers: The initial counseling session will be conducted at the first available drill (within 30 days whenever possible). Follow-up counseling for IRR Soldiers will be conducted when performing an active duty tour for more than 180 days or when attached for IDT for more than 180 days.

b. For ADOS-RC, ADOS, and CO-ADOS: The initial counseling session will be conducted within 30 days of reporting to a unit of assignment or beginning a new rating period.

G-3. Designation and qualification of rating officials

Rating officials must be qualified to serve in their rating official capacity using chapter 2 along with the USAR-specific modifications below.

a. Rating schemes for military technicians. When establishing rating schemes and designating rating officials for Soldiers in the MT program there are restrictions when a condition, normally referred to as “grade inversion” exists. Grade inversion is defined as a condition where an MT who, in his or her civilian MT capacity, is designated as a rating official over a military subordinate who, when the MT serves on military duty in the same unit, is the military supervisor of that MT in his or her military capacity. Such arrangements are contrary to military order and discipline. MTs in their civilian capacity will not be designated as rating officials over Soldiers when a grade inversion exists. However, when it is not practical and no other alternative exists, the first general officer in the chain of command may approve an exception to policy for resulting rating schemes. Approval memoranda for such exceptions to policy will be maintained at the unit level. As soon as an MT stops being an active unit member there is no restriction with regard to his or her service as rating officials.

b. Rating schemes for USAR Soldiers on active duty tours. For Soldiers on AT, ADT, ADOS-RC, ADOS, CO-ADOS, and IDT tours of specified periods less than 90 days, all rating officials will have served in that capacity for a minimum of 12 or more consecutive calendar days.

Note. For Soldiers on tours of specified periods greater than 90 days, chapter 2 rules apply.

c. Rating schemes for Soldiers assigned or attached to organizations for indefinite periods. The following rules will apply:

- (1) The rater will have served in that capacity for 120 days.
- (2) The intermediate or senior rater will have served in that capacity for 90 days.
- (3) This does not apply to officers when mobilized; chapter 2 rules apply during mobilization periods.
- (4) General officers who are qualified and serving as both rater and senior rater may render evaluation reports on rated Soldiers after meeting a 90-day, versus a 120-day, rating requirement.

d. Rating schemes for IRR Soldiers. Rating schemes for IRR Soldiers attached to a unit for points only will follow the same guidance as for TPU Soldiers.

e. Authorized rating scheme exception. The USAR deputy commanding general (DCG) or Deputy Commander Army Reserve for Operations, Readiness, Training, and Mobilization (DCAR, ORT&M), an MG, may rate other subordinate Army Reserve MGs who are senior in date of rank to the DCG or DCAR, ORT&M. The DCG or DCAR, ORT&M may also senior rate or review subordinate officers and NCOs of these senior officers.

f. Requests for exceptions to policy. In rare cases when it is necessary to obtain an exception to policy for designating rating officials—

- (1) Requests for exceptions to policy will be in accordance with paragraph 2-7a(7).
- (2) Any HQDA-approved exception to rating officials must be cited in published rating schemes. The rating official serving under exception will cite the authority to evaluate by exception on the evaluation report and will attach a copy of the approval memorandum as an enclosure at the time of submission (paras 3-33 and 3-35).
- (3) The HQDA memorandum of exception states the rated Soldier’s name and rank, the position in which the rated Soldier serves, the specific period covered by the exception, the rating official’s name and position authorized to evaluate by the exception, and the reason for the exception.

G-4. Continuity of rating periods

Reports rendered on IRR or IMA Soldiers may cause interruptions, or gaps, in a Soldier’s evaluation report history. Gap times will be either acceptable or unacceptable.

a. Acceptable gap times in a Soldier’s evaluation report history include non-drilling IRR, APMC-managed officers released from attachment or assignment for the purpose of mobilization, Ready Reserve status, breaks in service, or Soldiers (excluding TPU Soldiers) who are “no-shows” to a unit. During gap times, Soldiers are not in a ratable status (there is no rater/rated Soldier relationship and the Soldier is not drilling) and there is no expectation of an evaluation report.

Note. Soldiers assigned to the IRR or the Ready Reserve are not in a ratable status, unless drilling. Periods when there is no rater/rated Soldier relationship are acceptable gaps in these Soldiers’ evaluation report history. The gap is supported by the orders

assigning him or her to the IRR or Ready Reserve or subsequent mobilization orders. The “FROM” date of an evaluation report will be the date the Soldier is assigned to a TPU.

b. Unacceptable gap times include periods when a rated Soldier was in a status that warranted an evaluation report but rating officials failed to render a report. Such gap times will be resolved by the rating chain with responsibility for the rated Soldier.

c. Periods when a rated Soldier is in a “medical hold” status may be either rated time or nonrated time depending what the Soldier is doing (for example, Soldiers in a holdee status may be assigned to a rating chain for evaluation report purposes, unless otherwise prohibited by this regulation; however, periods of specialized training, in-transit travel, and schooling are nonrated time on evaluation reports). See paragraph 3–34 for some special evaluation report situations.

d. Periods of non-participation will be documented as nonrated time on evaluation reports (nonrated code “Z” in accordance with DA Pam 623–3).

e. When a Soldier’s participation is unsatisfactory due to failure to participate in any battle assemblies or AT, and so forth, and the Soldier is declared an unsatisfactory participant, he or she can no longer be evaluated; thereafter, until he or she returns to an active status and begin participating, the time period covered by the unsatisfactory performance will be documented as nonrated time on evaluation reports (nonrated code “A” in accordance with DA Pam 623–3). No report will be rendered until the Soldier returns to an active status and meets minimum rater qualifications (see para G–5g).

f. Rating official instructions in chapter 2 discuss rating officials’ and the rated Soldier’s responsibilities.

g. Rating officials will not comment on the Soldier’s performance during gap times as well as nonrated periods as indicated in paragraphs 3–16, 3–17, and 3–33.

G–5. Reporting periods and types of evaluation reports

Reports covered in chapter 3, sections VIII and IX take precedence over other optional reports. USAR-specific reporting requirements are as follows:

a. Soldiers will receive “Annual” evaluation reports following 1 calendar year out of the IRR, active Army, or ARNG.

b. Soldiers in the Selected Reserve (TPU, IMA, and DIMA Soldiers) will receive evaluation reports annually, at a minimum, from the unit of assignment or attachment.

c. IRR Soldiers attached to a unit for points only will receive evaluation reports under the same criteria as TPU Soldiers.

Note. The Soldier can only be attached to one unit at a time for points only.

d. For Soldiers in an active status for 30 days or more at a military or civilian school, an AER (DA Form 1059 or DA Form 1059–1) will be prepared upon completion of military or civilian schools for which a USAR Soldier is authorized to receive an AER.

Note. Instead of a DA Form 1059, a DA Form 87 will be awarded to Soldiers for completing the ALC common curriculum (phase I); unless there is no ALC technical phase established for a Soldier’s MOS.

e. When minimum rater qualifications are met, USAR Soldiers entering duty with the active Army in an individual status will receive an evaluation report prior to departing the USAR unit. This does not apply to Soldiers in an IRR status or those attached or assigned to the APMC. The “THRU” date of the evaluation report will be the day before the effective date of active duty. When an entire unit mobilizes, however, a report is not required unless otherwise required by chapter 3.

f. For general officer IMA personnel, evaluation reports will be prepared annually or upon completion of 12 cumulative days of AT, as desired by the rated officers in coordination with their proponent agencies (AR 140–145). The rating period will begin on the date of assignment to an IMA position or the AT start date.

g. Periods of unsatisfactory participation will be nonrated time on evaluation reports. Evaluation reports cannot be prepared on Soldiers who have not met minimum rater qualification due to nonparticipation in battle assemblies.

Note. IRR time is not a ratable status; therefore, it will appear as an acceptable gap in a Soldier’s evaluation report history.

h. For Soldiers assigned or attached to TPUs or RTUs, a report will be submitted per chapter 3. However, in lieu of the 90–day requirement to qualify as a rater, the minimum period of time for an “Annual” report will cover the following:

(1) If units are authorized 48 annual drills: 120 calendar days or more in the same position under the same rater.

(2) If units are authorized 24 annual drills: 16 or more regularly scheduled drills, in the same position under the same rater.

i. DIMA Soldiers assigned to a proponent agency will normally receive evaluation reports under the same guidance as for TPU Soldiers. If events occur that require the preparation of an evaluation report before 1 calendar year (365 days or 366 days if the Leap Year date, 29 February, is included in the period covered) has elapsed, a report with the appropriate reason for submission will be prepared. Evaluation reports will cover performance and potential demon-

strated in IDT status throughout the year and AT.

Note. If AT is hosted by a second agency other than proponent agency, the AT host agency will provide letter input to proponent agency for the period of time on AT. This input from the second agency will be considered for inclusion in the evaluation report prepared by the host unit. Alternatively, the supervisor from the organization where AT was conducted may serve as an intermediate rater on an OER for a DIMA officer.

j. For IMA and IRR officers attached to the USMA Liaison Program, known as military academy liaison officers, “Annual” reports will be submitted on 30 September of each year. For TPU officers serving military academy liaison officers, letter input for an evaluation report prepared by the rated officer’s host unit will be provided, upon request.

k. For officers attached or assigned to the APMC.

(1) *Army Medical Department officers who do not complete annual training or extended combat training.* Officers attached or assigned to the APMC who have not completed at least 12 consecutive days of AT or extended combat training (ECT) but who have accumulated 50 or more retirement points will receive a DA Form 67–9 using code 19, AHRC-directed, as the reason for submission.

(a) For rated officers who perform AT or ECT with the APMC the following data will be included on the evaluation report form as shown in figure G–1 in order to allow it to be processed:

OFFICER EVALUATION REPORT						FOR OFFICIAL USE ONLY (FOUO) SEE PRIVACY ACT STATEMENT IN AR 623-3.	
For use of this form, see AR 623-3 the proponent agency is DCS, G-1.							
PART I - ADMINISTRATIVE DATA							
a. NAME (Last, First, Middle Initial)		b. SSN	c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	DESIGNATED SPECIAL INTEREST (PMOS (WO))	
DOE, JOHN		000-00-0000	1LT	20071001	IN	11A	
g.1. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND				g.2. STATUS CODE	h. REASON FOR SUBMISSION		
1-66th AR, 1 BCT, 4 ID, Fort Hood, TX III CORPS				02	Annual		
i. PERIOD COVERED		j. RATED MONTHS	k. NONRATED CODES	l. NO. OF ENCL.	m. RATED OFFICER'S APO EMAIL ADDRESS (gov or mil)	n. UIC	o. CMD CODE
FROM (YYYYMMDD)	THRU (YYYYMMDD)	12		0	john.doe00@us.army.mil	WASH14	UZ
	20101119	20111118					FS16
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VII and the admin data is correct)							
a. NAME OF RATER (Last, First, MI)		SSN	RANK	POSITION	SIGNATURE	DATE (YYYYMMDD)	
SMITH, JOHN		111-11-1111	CPT	Cdr, A Co. 1-66th AR			
b. NAME OF INTERMEDIATE RATER (Last, First, MI)		SSN	RANK	POSITION	SIGNATURE	DATE (YYYYMMDD)	
DOE, JOE		222-22-2222	LTC	Cdr, 1-66th AR			
c. NAME OF SENIOR RATER (Last, First, MI)			SSN	RANK	POSITION	SIGNATURE	DATE (YYYYMMDD)
SENIOR RATER'S ORGANIZATION			BRANCH	SENIOR RATER TELEPHONE NUMBER	E-MAIL ADDRESS (gov or mil)		
1-66th AR, 1 BCT, 4 ID Fort Hood, TX 76544			AR	254-123-4567	joe.doe00@us.army.mil		
d. This is a referred report, do you wish to make comments?					e. SIGNATURE OF RATED OFFICER		DATE (YYYYMMDD)
<input type="checkbox"/> Yes, comments are attached. <input type="checkbox"/> No.							
PART III - DUTY DESCRIPTION							
a. PRINCIPAL DUTY TITLE				b. POSITION AOC/BR			
Platoon Leader				11A00			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES. REFER TO PART IVa, DA FORM 67-9-1. (See DA Pam 623-3, paragraph 2-6)							
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM (Rater)							
CHARACTER Disposition of the leader: combination of values, attributes, and skills affecting leader actions							
a. ARMY VALUES (Comments mandatory for all "NO" entries. Use PART Vb.)							
		Yes	No			Yes	No
1. HONOR: Adherence to the Army's publicly declared code of values		<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. RESPECT: Promotes dignity, consideration, fairness, & EO		<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. INTEGRITY: Possesses high personal moral standards; honest in word and deed		<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. SELFLESS-SERVICE: Places Army priorities before self		<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. COURAGE: Manifests physical and moral bravery		<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. DUTY: Fulfills professional, legal, and moral obligations		<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. LOYALTY: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and the soldier		<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. LEADER ATTRIBUTES / SKILLS / ACTIONS: First, mark "YES" or "NO" for each block. Second, choose a total of six that best describe the rated officer. Select one from ATTRIBUTES, two from SKILLS (Competence), and three from ACTIONS (LEADERSHIP). Place an "X" in the appropriate numbered box with optional comments in PART Vb. Comments are mandatory in Part Vb for all "No" entries.							
b.1. ATTRIBUTES (Select 1)		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Fundamental qualities and characteristics		1. MENTAL	Possesses desire, will, initiative, and discipline	2. PHYSICAL	Maintains appropriate level of physical fitness and military bearing	3. EMOTIONAL	Displays self-control; calm under pressure
b.2 SKILLS (Competence) (Select 2)		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Skill development is part of self-development; prerequisite to action		1. CONCEPTUAL	Demonstrates sound judgment, critical/creative thinking, moral reasoning	2. INTERPERSONAL	Shows skill with people: coaching, teaching, counseling, motivating and empowering	3. TECHNICAL	Possesses the necessary expertise to accomplish all tasks and functions
b.3. ACTIONS (LEADERSHIP) (Select 3) Major activities leaders perform: influencing, operating, and improving		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
INFLUENCING		1. COMMUNICATING	Displays good oral, written, and listening skills for individuals / groups	2. DECISION-MAKING	Employs sound judgment, logical reasoning and uses resources wisely	3. MOTIVATING	Inspires, motivates, and guides others toward mission accomplishment
OPERATING		4. PLANNING	Develops detailed, executable plans that are feasible, acceptable, and suitable	5. EXECUTING	Shows tactical proficiency, meets mission standards, and takes care of people/resources	6. ASSESSING	Uses after-action and evaluation tools to facilitate consistent improvement
IMPROVING		7. DEVELOPING	Invests adequate time and effort to develop individual subordinates as leaders	8. BUILDING	Spends time and resources improving teams, groups and units; fosters ethical climate	9. LEARNING	Seeks self-improvement and organizational growth; envisioning, adapting and leading change
c. APFT: PASS		DATE: 20110910		HEIGHT: 72	WEIGHT: 185	YES	
d. OFFICER DEVELOPMENT - MANDATORY YES OR NO ENTRY FOR RATERS OF CPTs, LTs, CW2s, AND WO1s.							
WERE DEVELOPMENTAL TASKS RECORDED ON DA FORM 67-9-1a AND QUARTERLY FOLLOW-UP COUNSELINGS CONDUCTED?							
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA							

DA FORM 67-9, OCT 2011

PREVIOUS EDITIONS ARE OBSOLETE.

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Figure G-1. Example of Army Medical Department Professional Management Command officer evaluation report form required data entries (front)

NAME DOE, JOHN		SSN 000-00-0000	PERIOD COVERED 20101119	20111118
PART V - PERFORMANCE AND POTENTIAL EVALUATION (Rater)				
a. EVALUATE THE RATED OFFICER'S PERFORMANCE DURING THE RATING PERIOD AND HIS/HER POTENTIAL FOR PROMOTION				
<input checked="" type="checkbox"/> OUTSTANDING PERFORMANCE, MUST PROMOTE <input type="checkbox"/> SATISFACTORY PERFORMANCE, PROMOTE <input type="checkbox"/> UNSATISFACTORY PERFORMANCE, DO NOT PROMOTE <input type="checkbox"/> OTHER (Explain)				
b. COMMENT ON SPECIFIC ASPECTS OF THE PERFORMANCE. REFER TO PART III, DA FORM 67-9 AND PART IVa, b, AND PART Vb, DA FORM 67-9-1. (See DA Pam 623-3, paragraph 2-8)				
c. COMMENT ON POTENTIAL FOR PROMOTION. (See DA Pam 623-3, paragraph 2-8)				
d. IDENTIFY ANY UNIQUE PROFESSIONAL SKILLS OR AREAS OF EXPERTISE OF VALUE TO THE ARMY THAT THIS OFFICER POSSESSES. FOR ARMY COMPETITIVE CATEGORY CPT ALSO INDICATE A POTENTIAL CAREER FIELD FOR FUTURE SERVICE. (See DA Pam 623-3, paragraph 2-6)				
PART VI - INTERMEDIATE RATER				
(See DA Pam 623-3, paragraph 2-9)				
PART VII - SENIOR RATER				
a. EVALUATE THE RATED OFFICER'S PROMOTION POTENTIAL TO THE NEXT HIGHER GRADE				
<input checked="" type="checkbox"/> BEST QUALIFIED <input type="checkbox"/> FULLY QUALIFIED <input type="checkbox"/> DO NOT PROMOTE <input type="checkbox"/> OTHER (Explain below)		I currently senior rate <u>16</u> officer(s) in this grade A completed DA Form 67-9-1 was received with this report and considered in my evaluation and review <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (Explain in c)		
b. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)		c. COMMENT ON PERFORMANCE/POTENTIAL (See DA Pam 623-3, paragraph 2-10)		
<input type="checkbox"/> ABOVE CENTER OF MASS (Less than 50% in top box; Center of Mass if 50% or more in top box)				
<input checked="" type="checkbox"/> CENTER OF MASS				
<input type="checkbox"/> BELOW CENTER OF MASS RETAIN				
<input type="checkbox"/> BELOW CENTER OF MASS DO NOT RETAIN				
		d. LIST THREE FUTURE ASSIGNMENTS FOR WHICH THIS OFFICER IS BEST SUITED. FOR ARMY COMPETITIVE CATEGORY CPT, ALSO INDICATE A POTENTIAL CAREER FIELD FOR FUTURE SERVICE. (See DA Pam 623-3, paragraph 2-10)		

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Figure G-1. Example of Army Medical Department Professional Management Command officer evaluation report form required data entries (continued) (back)

1. Part I, all administrative data.
2. Part II, authentication data for the CDR, APMC, as both the rater and senior rater (unable to evaluate the rated officer because he or she has not served as the senior rater for the required number of days).
3. Part III, duty title “APMC–Managed Officer,” duty description for the officer’s AOC, and AOC code.
4. Parts IV, blocks a through d, all parts will be completed.
5. Parts V, blocks a and b, performance or promotion box check and comments on relevant training performed, other than duties mentioned in the duty description, which may have some impact in the event of mobilization.

Note. The CDR, APMC may enter potential comments in part V, block c. In part VII, block c using the Wizard application, under the Senior Rater Actions tab of electronic DA Form 67-9, the CDR, APMC will check the “NO” box in response to the question, “Have you been the senior rater for this officer for at least 60 days?” The comment “I am unable to evaluate the rated officer because I have not been his or her senior rater for the required number of days.” will populate in part VII, block c. The senior rater will also check the “NO” box in response to the question, “Is the rated officer available for signature?”

(b) The “FROM” date on an initial OER for an APMC officer will begin on the date of attachment and will be adjusted to the officer’s retirement year ending date. The “THRU” date will be the anniversary of the officer’s retirement year end date. The “FROM” date of successive reports will be the day after the “THRU” date of the previous report.

(c) The CDR, APMC, will evaluate the rated officer as the rater and there will be no other rating officials. The CDR, APMC, will enter authentication data as the rater and senior rater and he or she will digitally sign the report. The rated officer will not sign the completed DA Form 67–9 in part II, block d before submission to HQDA.

Note. Submission of evaluation reports requires the entry of the required statement “The rated officer is unavailable to sign.”

(d) Comments on the duties performed and training accomplished will be based on information provided on the DA Form 67–9–1 (or equivalent), DA Form 1380 (Record of Individual Performance of Reserve Duty Training), and other pertinent documents provided to the CDR, APMC by the APMC officer and/or his chain of supervision at his or her duty location.

(e) A statement regarding APFT failure, noncompliance with weight standards, and/or the omission of these data, will be entered in part V, block b, if applicable. When applicable, the evaluation report will be marked as a referred OER; however, as an exception to policy, referred evaluation reports on APMC-managed officers will not be referred to the rated officer as indicated for all other OERs in paragraph 3–28 or DA Pam 623–3.

(f) Newly commissioned officers who have not completed the Officer Basic Leaders Course (phases I and II) must meet all of the requirements stated in paragraph k(1), above, to receive a DA Form 67–9.

(g) See DA Pam 623–3, for specific items to complete on OERs for APMC-managed AMEDD officers.

(2) *Army Medical Department officers who complete annual training or extended combat training with a unit other than Army Medical Department Professional Management Command.* For rated officers who perform AT or ECT with a unit other than the APMC, the unit where the duty is performed will prepare and submit the OER in accordance with chapter 3.

l. The code 43, USAR general officer nomination OER, will only be used for nominative positions as directed by the Secretary of the Army.

m. Newly commissioned officers or newly appointed warrant officers who have not yet completed their respective officer basic course (BOLC or WOBC) and are assigned or attached to a TPU or reinforcement training unit are entitled to receive mandatory and optional evaluation reports as detailed in chapter 3. In order to receive an evaluation report, the rated officer must have been assigned under a rater for a minimum of 120 days (or 90 days for USAR Soldiers on ADT or ADOS–RC tours). The senior rater will enter a comment in DA Form 67–9, part VII, block c, indicating that the officer has not yet completed the basic course as of the “THRU” date of the report. The “FROM” date on the rated officer’s first OER will be his or her commissioning date.

n. During periods of mobilization, when an entire unit is mobilized, and the rating chain remains intact, an evaluation report will not be prepared unless otherwise required under chapter 3 (for example, “Annual”, “Change of Rater” or “Change of Duty”, and so forth).

o. CDR, USARC, 7th Civil Support Command, and the 9th Mission Support Command may direct reports required for board actions when the officer has not received an OER since being commissioned or appointed, provided the officer has served in the same position under the same rater for 120 days. A copy of the USARC letter directing the report will be attached to the OER when it is forwarded to HQDA.

Appendix H Managing Army National Guard Evaluations

H-1. Overview

This appendix addresses exceptions to policy and procedures found in chapters 1, 2, and 3 that apply to the ERS within the ARNG. Unique ARNG and AGR evaluation report preparation and processing instructions are also found in DA Pam 623-3.

a. This appendix applies only to traditional (M-day) ARNG Soldiers with either temporary or permanent Federal recognition serving on ADT, active duty support (ADS), ADOS-RC, AT, IDT, and full-time national guard duty special work. However, this chapter does not apply to ARNG members on ADOS/CO-ADOS duty or on statutory tours of active duty under the provisions of 10 USC 10211, 12301, and 12402. The term “ARNG Soldier” refers to officers, warrant officers, and NCOs collectively, unless otherwise specified.

b. This chapter does not apply to ARNG Soldiers serving on active duty or full-time ARNG duty under 10 USC and 32 USC AGR tours, to include Presidential Selective Reserve Call-up, partial or full mobilization for emergency or war, or ADOS. ARNG Soldiers in these groups receive their mandatory and optional evaluation reports (OERs or NCOERs) in accordance with chapter 3.

c. The term “States” as used in this chapter applies to the 50 United States, the territories of Guam, Puerto Rico, the U.S. Virgin Islands, and the District of Columbia. The term “State Adjutant General (AG)” refers to the commanding general of each of those States that use such a designation for officers of equivalent positions.

H-2. Command roles

a. The Chief, National Guard Bureau (CNGB) will—

(1) Act for the Secretary of the Army and direct the effective operation of the ERS in the ARNG.

(2) Delegate final review authority on all ARNG evaluation reports arriving at the ARNG readiness center to DCS, G-1 staff at NGB. 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 policy, exceptions to policy, and/or form new policy, as the need arises.

3. Disposing of CDR’s inquiries according to chapter 4.

b. State AGs and CDRs will ensure that—

(1) Each rating official is fully qualified to meet his or her responsibilities (see chap 2).

(2) Reports are completed by rating chain officials named in the published rating scheme.

(3) Rating schemes are published by name showing the rater, intermediate rater (if applicable), the senior rater, and the reviewer (if applicable) and the effective date on which they assumed the role. Rating schemes will be given an effective date, and distributed to the rated officer and each member of his or her 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 he or she will examine the entries on evaluation reports to ensure that objectivity and fairness have been maintained. When doing so, he or she will keep in mind the interests of the Army, the ARNG, and the rated ARNG Soldier. 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 Soldiers are provided a copy of their completed evaluation reports.

(8) Referred OERs and AERs (paras 3-26 and 3-27) will be provided to the rated Soldier for acknowledgment or comment before being sent to HQDA (OERs) or the State OPM or EPM office (AERs), as appropriate. This also applies to OER or AER addendums containing newly received derogatory information and submitted under the provisions of paragraphs 3-38 and 3-42 (also see chap 3, sec IV). The referred report provision above does not apply to NCOERs.

(9) State military personnel officers comply with BN or BDE administrative office procedures outlined in this regulation or DA Pam 623-3.

(10) Completed OERs arrive at HQDA no later than 90 calendar days after the “THRU” date of the report.

(11) A comment will be made in the rater’s portion of the OER or NCOER regarding the rated ARNG Soldier’s military education status.

c. In addition to the above, State AGs and CDRs will perform the duties described in paragraph 1-11 and chapter 4 when a report by one their subordinates appears illegal, unjust, or otherwise in violation of this regulation.

d. State AGs may also request from the CNGB, 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 a Soldier or a disservice to the Army if a new policy is not made or an exception is not granted.

H-3. Rating chain

a. Rating chains for evaluation reports (OERs and NCOERs) will correspond as nearly as practicable to the chain of command and supervision within an organization.

b. Rating chains will normally consist of the rated ARNG Soldier, the rater, and the senior rater (see para 2-3). When a rating chain is established, the rater, intermediate rater (if applicable, for OERs only), senior rater, and reviewer (primarily for NCOERs) are the first officials designated (see table 2-1 and paras 2-4, 2-6, 2-7, and 2-8). Some OER rating chains may have an intermediate rater (para 2-6) and/or a supplementary reviewer (paras 2-7 and 2-8). Rating schemes and all subsequent changes will be published with an effective date and distributed in accordance with paragraph H-2b(3). No changes to rating chains may be retroactive.

c. In rare cases when it is necessary to obtain an exception to policy for designating rating officials—

- (1) Requests for exceptions to policy will be in accordance with paragraph 2-7a(7).
- (2) Any HQDA-approved exception to rating officials must be cited in published rating schemes. The rating official serving under exception will cite the authority to evaluate by exception on the evaluation report and will attach a copy of the approval memorandum as an enclosure at the time of submission (paras 3-33 and 3-35).
- (3) The HQDA memorandum of exception states the rated Soldier's name and rank, the position in which the rated Soldier serves, the specific period covered by the exception, the rating official's name and position authorized to evaluate by the exception, and the reason for the exception.

d. Rules for establishing rating chains for general officers are in table H-1.

Table H-1
Rules for establishing rating chains for general officers

Assignment of rated officer	Rater	Intermediate rater	Senior rater
State AG	None ¹	None	None
Assistant State AG	State AG	None	State AG
Officers commanding divisions	State AG ²	None	State AG ² (rated officer's State)
Officers serving as assistant division CDRs or deputy CDRs of commands authorized a MG when the organization CDR is from the same State	Organization CDR	None	State AG ² (rated officer's State)
Officers serving as assistant division CDRs or deputy CDRs of commands authorized a MG when the organization CDR is from a different State	Organization CDR	None	State AG ² (rated officer's State)
Other general officer commands	State AG ²	None	State AG ²
All other officers serving in general officer positions	(As directed by the State AG)		

Notes:

¹ No evaluation report will be rendered for a State AG 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 report.

² Or overseas CDR, if applicable.

H-4. Rated Soldier

a. The rated Soldier is discussed in detail in paragraph 2-10.

b. In order to be eligible for an evaluation report, ARNG Soldiers will complete 120 calendar days (excluding nonrated periods) in the same duty position under the same rater.

Note. No comments pertaining to any nonrated periods will be included on OERs or NCOERs

c. A newly commissioned officer or newly appointed warrant officer will not be rated on an OER prior to completing BOLC or WOBC in accordance with paragraphs 3-2I and 3-34b.

H-5. Rater

a. The roles of the rater are discussed in detail in paragraphs 2-5 and 2-13.

b. The rater, who is the immediate supervisor of the rated ARNG Soldier, will serve for a minimum period of 120 rated days in order to render an evaluation report for all cases except “Relief for Cause” reports involving misconduct. The 120-day period may be waived by a general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved Soldier, including the State AG.

c. For NCOs on a Key Personnel Upgrade Program or similar tour of fewer than 16 days, the supervisor will provide the normal rater with a memorandum providing input for the NCO’s next evaluation report.

H-6. Intermediate rater (DA Form 67-9 only)

a. The roles of the intermediate rater are 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 render an evaluation report on a rated ARNG officer.

H-7. Senior rater

a. The roles of the senior rater are discussed in detail in paragraphs 2-7 and 2-15.

b. The senior rater will serve for a minimum period of 90 calendar days in order to render an evaluation report on a rated ARNG Soldier. However, the senior rater may, at his or her option, evaluate a rated Soldier after being in the position 60 calendar days (para 3-57).

c. Senior raters for OERs must meet the grade requirements specified in table 2-1.

H-8. Exceptions to rating chain qualifications and program responsibilities

The following are exceptions to the rating chain qualifications of paragraph 2-5c:

a. The Assistant Adjutant General, Army, or the State CSM may rate an ARNG CSM serving as an NCO academy commandant.

b. The State AG will rate the State CSM.

H-9. Review requirements and roles

a. Review requirements and roles are given in paragraphs 2-8 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 (para 2-16). There is no minimum time-in-position requirement for the reviewer to review the report.

H-10. Evaluation report forms and processing

a. In addition to the evaluation principles and forms outlined in this regulation and DA Pam 623-3, nonrated time statements will be used by ARNG Soldiers to account for acceptable gaps between existing ARNG evaluation reports, missing ARNG reports, and for evaluation report periods covered by approved appeals. Requests for nonrated time statements (para 3-33 and fig 3-2) will be submitted in memorandum format through the rated Soldier’s State OPM (OERs) or EPM (NCOERs) (address in table H-4).

b. If a Soldier has undocumented nonrated time, the rated Soldier’s unit may request a nonrated time statement (fig 3-2). Requests for the issuance of nonrated time statements for qualifying periods will be processed as follows—

(1) For OERs, the rated officer’s State OPM will prepare a nonrated time statement (fig 3-3), signed by the State OPM, and will forward it to NGB (NGB-ARP-C) (address in app F).

(2) For NCOERs, the rated NCO’s State EPM will prepare a nonrated time statement (fig 3-3), signed by the State G-1, to be processed at the state level.

c. Intermediate-level activities will review requests to determine the accuracy of the information provided to substantiate the need for issuance of a nonrated time statement. Endorsements will be construed as certification by that activity of the accuracy of the request. Requests that do not have a state-level endorsement will be returned without action. The request will include the rated Soldier’s name, rank, SSN, branch, state of assignment during the rating period in question, the applicable dates, and a brief narrative summary of the facts and circumstances. Copies of evaluation reports that serve to document a gap between periods covered need not be submitted if the reports have been previously forwarded for processing. If the nonrated time request is rejected, the State AG will receive an explanation along with the original request for a nonrated time statement.

d. If 2 years or more have elapsed since the “THRU” date of the evaluation report in question, the period will be evaluated by the State OPM or EPM and a nonrated time statement will be issued, if deemed appropriate.

e. If the nonrated period was served in a component other than ARNG, the rated Soldier’s unit or component at the time of the nonrated period will prepare and forward a request for a nonrated time statement (fig 3-2) to HQDA in accordance with paragraph 3-33f.

f. To the greatest extent possible, gaps of nonrated time between successive evaluation reports will be accounted for by requesting changes in “FROM” and “THRU” dates and entering the corresponding nonrated codes (para 3-33d).

g. As an exception, for periods of inactive national guard (ING) status, a report is not expected and a nonrated time statement is not necessary.

h. A nonrated time statement will not be issued for periods when an evaluation report was due, but the rating officials failed to prepare a report.

H-11. Mandatory evaluation reports, 120-day minimum

Reports listed in this paragraph and in chapter 3 are required if the rated Soldier has at least 120 calendar days, excluding nonrated periods, in the same duty position under the same rater during the rating period.

Note. The time period covered by an AER (DA Forms 1059 and 1059-1) is counted as nonrated time on OERs and NCOERs covering the same period.

a. *All reassignments not involving a change of component.* This includes transfer (PCS) to another State, another unit within the same State, or another duty position within the same unit. A “Change of Duty” evaluation report will be prepared in these cases, provided that the minimum rating qualifications are met. Transfer to other component evaluation reports, in accordance with DA Pam 623-3, will be used to reflect a change in component (active Army or USAR).

b. *Annual reports.* The following rules apply:

(1) An “Annual” evaluation report is mandatory upon completion of 1 calendar year of duty following the “THRU” date of the last report submitted, as long as the 120-day minimum rating requirement is met. The “THRU” date on the evaluation report will be extended until these minimums are met, when required. Soldiers will receive “Annual” evaluation reports following 1 calendar year out of the ING, active Army, or USAR.

(2) 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.

c. *Departure for 30 days or more.* When an officer who has met the 120-day requirement departs on AGR, ADS, ADOS-RC, or ADT for 30 calendar days or more with the NGB, State headquarters, or another organization or agency, 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 the officer’s departure. The unit or agencies to which the rated individual is assigned for AGR, ADS, ADOS-RC, or ADT will render the reports covering those periods, to include nonrated periods prior to a change in status, if the 120-day rule was not met.

d. *Officer recommended for elimination.* 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 CDR’s recommendation is forwarded through the State military personnel officer to the ARNG Personnel Services Division (see address in AR 135-175).

(2) A selection board. This applies only if the officer has fewer than 3 years of service and 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 OPM office to the Officer Management Branch.

e. *Officer failing selection for promotion.* An officer who fails to be selected for promotion in the ARNG will receive an evaluation report prior to the next promotion board that will consider his or her records. However, the following conditions will be satisfied:

(1) The rated officer has not received an OER since the announcement that he or she was not selected for promotion.

(2) The rating period will cover 120 or more calendar days as of the date in the ARNG Personnel Services Division letter announcing the zone of consideration for the next board that will consider the rated officer. This date will be the same as the date used for a “Complete the Record” evaluation report.

(3) The minimum time requirement for the rater is satisfied.

f. *For ARNG officers entering on duty with the active Army.* The “THRU” date of the OER will be the day before the effective date of active duty.

g. *Mobilization.* During period of mobilization, when an entire unit is mobilized and the rating chain remains intact, a report is not required unless otherwise required under chapter 3 (for example, “Annual”, “Change of Rater”, “Change of Duty”, and so forth).

H-12. Mandatory evaluation reports, other than 120-day minimum

Evaluation reports will be prepared as discussed in the following paragraphs and in chapter 3. Specific time requirements, if any, are listed in the descriptions of each occasion or event.

a. *Nomination for promotion to general officer.* A report will be submitted when an officer is being nominated for promotion to general officer.

b. *Active duty for training, active duty support, and Active Duty for Operational Support-reserve component.* A report will be submitted for any period of 30 continuous calendar days or more spent on ADT, ADS, or ADOS-RC, at

NGB, State headquarters, or another organization or agency. The preparing organization or agency and the rated Soldier are jointly responsible to ensure that the evaluation report has the correct nonrated code(s) annotated with any nonrated period that may have accrued if the rated officer was not entitled to an evaluation report upon departure.

c. By direction of the National Guard Bureau. A report will be submitted when directed by the NGB to fill a need when other types of reports in this regulation do not apply. In rare instances, State AGs may request the NGB direct 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.

d. Inactive national guard status (officer evaluation report). An OER will be prepared upon an officer's transfer to the ING. Once transferred to the ING, the officer is not in a ratable status and an evaluation report will not normally be prepared.

H-13. Mandatory noncommissioned officer reports

a. "Relief for Cause" reports. A "Relief for Cause" evaluation report is required if an NCO is relieved for cause. The policy and guidance in paragraph 3-55 and DA Pam 623-3, apply to all ARNG NCOs, except that the minimum rating period is 90 rated days (3 continuous months).

b. "Change of Rater" reports. "Change of Rater" evaluation reports are optional for ARNG NCOs whose rater transfers within the unit. A "Change of Rater" report is required when—

- (1) An ARNG NCO or the rater transfers to another unit.
- (2) An ARNG NCO or the rater transfers to the IRR or another component.
- (3) Directed by the chain of command in conjunction with a change-of-rater or change-of-duty assignment.

d. Inactive national guard status (noncommissioned officer evaluation reports). An NCOER will be prepared upon an NCO's transfer to the ING.

(1) Once transferred to the ING, the NCO is not in a ratable status and an evaluation report is not normally be prepared.

(2) However, NCOERs will be prepared for SGTs and above who attend AT of more than 11 days and return to ING upon completion of the AT period. A copy of the completed NCOER will be forwarded to the State (or Territory) EPM no 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.

H-14. Optional reports

Reports in this paragraph and in chapter 3, section X, may be submitted at the option of rating officials.

a. "Complete the Record" (officer evaluation report only). At the option of the rater, a report may be submitted on a rated officer who is about to be considered by an HQDA selection board for promotion or schooling (for example officers competing for Senior Service College). However, the rated officer 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 he or she senior rates. This applies only if the following conditions are met:

- (1) The senior rater has served in that position for at least 60 days.
- (2) The rater meets the minimum requirements to give a report.
- (3) The rated Soldier has not received a report in the preceding 6 months.

c. "Rater Option" (officer evaluation report only). When one of the conditions described in paragraphs 3-40 through 3-43 occurs but there are fewer than 120 calendar days (excluding nonrated periods) in the rating period, a 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.

H-15. Special officer and academic evaluation report processing at unit level

a. Referred reports.

(1) If the referral of a negative or derogatory OER or AER is required (paras 3-26 or 3-27), the senior rater will personally refer the report to the rated officer for acknowledgment and comment before sending it through the State OPM or EPM Office to HQDA.

(2) Other procedures for referred evaluation reports are as described in paragraph 3-28 and DA Pam 623-3.

b. "Relief for Cause" reports. "Relief for Cause" evaluation reports (paras 2-18 and 3-55) will be referred to the rated officer as described above.

Note. 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). Otherwise, the first ARNG officer in the chain of command above the individual directing the relief will review "Relief for Cause" evaluation 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 or 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 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.

(c) If the corrected report is satisfactory to the senior rater, he or 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 or 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 paragraph 2–18.

(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 review functions described in paragraph 2–18 using an enclosure to the OER in the format shown in figure 2–3.

H–16. Preparation and processing of forms

a. Preparation. Evaluation forms will be prepared electronically on current form versions obtained from the "My Forms" Portal on AKO—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 HQDA. Authorized abbreviations may be used; however, avoid acronyms. The ARNG State codes and abbreviations are in table H–2. Facsimile signatures are not authorized (see DA Pam 623–3 for process and procedures).

Table H–2
Army National Guard State 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	District 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
20	KS	Kansas
21	KY	Kentucky
22	LA	Louisiana
23	ME	Maine
24	MD	Maryland
25	MA	Massachusetts
26	MI	Michigan

Table H-2
Army National Guard State codes and abbreviations—Continued

Code	Abbreviation	State
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

b. Processing. Procedures for processing ARNG evaluation reports differ from those for active Army and USAR report. After evaluation reports are completed by the rating officials and provided to the rated Soldier for signature, the forms are either forwarded to HQDA (OERs) or retained by the State OPM or EPM office (officer and NCO AERs and NCOERs) (addresses in app F). Disposition procedures for ARNG evaluation reports are shown in table H-3.

**Table H-3
Disposition of Army National Guard evaluation reports**

Category	Evaluation originates from:	Through:	To:
OERs: AGR - Title 10 USC (except for reports on U.S. Property and Fiscal Of- fice officers)	Organization or agency or unit to which assigned		HQDA (see app F)
	CNGB	CNGB	HQDA (see app F)
AGR - Title 32 USC	Unit	State AG	HQDA (see app F)
ADOS or ADT (on duty in State)		State AG	HQDA (see app F)
ADOS or ADT (on duty outside the State)	Organization or agency or unit to which attached		HQDA (see app F)
Traditional Guard	Unit	State AG	HQDA (see app F)
NCOERs: All categories	Organization or agency or unit to which attached		State EPM office

(1) When rated ARNG Soldiers digitally sign evaluation reports, the electronic copy is their copy. Soldiers who manually sign evaluation reports will receive a paper copy of the report. Soldiers who fail to receive a completed evaluation report within 90 days after the “THRU” date of the report will request the report from the senior rater or reviewing official or the appropriate State OPM/EPM office. A Soldier may view evaluation reports that have been fully processed and filed in his or her online OMPF.

(2) The ARNG Readiness Center will reproduce and provide an ARNG Soldier with one or more copies of his or her official evaluation reports upon written request from the Soldier or an authorized representative in accordance with AR 600-8-104, chapter 2. Soldiers can send requests to the NGB (address in app F).

c. State officer personnel manager or enlisted personnel manager office requirements. The State OPM or EPM office will ensure that—

(1) Evaluation reports are complete and administratively correct.

(2) Evaluation reports will be submitted to the appropriate office (HQDA or State OPM or EPM office) to arrive no later than 90 days after the “THRU” date of the report. Timely submission of reports is a consideration in view of their impact on personnel actions. Because personnel actions are based on available records, the late submission of an evaluation report may result in inequity to either the Soldier or the ARNG. The schedule of centralized selection, promotion, and school boards will be closely monitored to ensure eligible reports, both mandatory and optional, are received in sufficient time to be included in a Soldier’s board file for consideration by the board.

(3) A copy of completed evaluation reports (OERs, NCOERs, and AERs) will be retained in suspense for 120 days.

(a) Officer evaluation reports. The following rules apply:

1. Completed, digitally signed OERs, in original format, prepared on the most current form version available in the "My Forms" Portal on AKO will be routed in accordance with table H-3 and submitted to HQDA using the "My Forms" Portal on AKO to the greatest extent possible.

2. Manually signed OERs will be placed, unfolded, in an envelope with letter of transmittal and routed in accordance with table H-3 for mailing to HQDA (AHRC-PDV-ER) (address in app F). Classified reports will be handled as described in paragraph 3-22.

3. Referred OERs will be prepared and referred in accordance with paragraphs 2-16 through 2-18, 3-26, 3-28, and DA Pam 623-3.

(b) Noncommissioned officer evaluation report. The following rules apply:

1. Completed, digitally signed NCOERs, in original format, prepared on the most current form version available in the "My Forms" Portal on AKO will be sent in accordance with table H-3 to the rated NCO’s State EPM office (address in table H-4).

2. Manually signed NCOERs will be placed, unfolded, in an envelope with a letter of transmittal and sent in accordance with table H-3 to the rated NCO’s State EPM Office (address in table H-4).

(c) Academic evaluation report.

1. ARNG Soldiers who receive an AER will ensure a copy is sent to the State OPM or EPM office (address in table H-4).

2. Referred AERs will be prepared and referred in accordance with paragraphs 2–16 through 2–18, 3–27, 3–28, and DA Pam 623–3.

d. Enclosures. See paragraph 3–35 for policy on authorized enclosures to evaluation reports.

e. Access to reports. Access to reports at the NGB 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 having command, administrative, or rating official responsibility for the report.

Table H–4
Joint Forces Headquarters addresses by state

JFHQ and State	Attention	Mailing Address	City	ZIP Code
JFHQ State of Alabama	OPM/EPM	P.O. Box 3711	Montgomery	36109–0711
JFHQ State of Alaska	OPM/EPM	P.O. Box 5800	Fort Richardson	99505–5800
JFHQ State of Arizona	OPM/EPM	5636 East McDowell Rd	Phoenix	85008–3495
JFHQ State of Arkansas	OPM/EPM	Camp Robinson	North Little Rock	72118–2200
JFHQ State of California	OPM/EPM	P.O. Box 269101	Sacramento	95826–9101
JFHQ State of Colorado	OPM/EPM	6848 S Revere Pkwy	Centennial	80112–6710
JFHQ State of Connecticut	OPM/EPM	360 Broad St	Hartford	06105–3795
JFHQ State of Delaware	OPM/EPM	First Regiment Rd	Wilmington	19808–2191
JFHQ District of Columbia	OPM/EPM	2001 East Capitol St SE	Washington	20003–1719
JFHQ State of Florida	OPM/EPM	St. Francis Barracks, P.O. Box 1008	St. Augustine	32085–1008
JFHQ State of Georgia	OPM/EPM	P.O. Box 17965	Atlanta	30316–0965
JFHQ Guam	OPM/EPM	622 E. Harmon Industrial Park Rd	Tamuning	96911–4421
JFHQ State of Hawaii	OPM/EPM	3949 Diamond Head Rd	Honolulu	96816–4495
JFHQ State of Idaho	OPM/EPM	P.O. Box 45	Boise	83707–0045
JFHQ State of Illinois	OPM/EPM	1301 N. MacArthur Blvd	Springfield	62702–2399
JFHQ State of Indiana	OPM/EPM	2002 S Holt Rd	Indianapolis	46241–4839
JFHQ State of Iowa	OPM/EPM	7700 NW Beaver Dr	Johnston	50131–1902
JFHQ State of Kansas	OPM/EPM	2800 SW Topeka Blvd	Topeka	66611–1287
JFHQ State of Kentucky	OPM/EPM	Boone Nat'l Guard Center	Frankfort	40601–6168
JFHQ State of Louisiana	OPM/EPM	Headquarters Bldg, Jackson Barracks	New Orleans	70146–0330
JFHQ State of Maine	OPM/EPM	Camp Keyes	Augusta	04333–0033
JFHQ State of Maryland	OPM/EPM	5th Regiment Armory	Baltimore	21201–2288
JFHQ State of Massachusetts	OPM/EPM	50 Maple St	Milford	01757–0001
JFHQ State of Michigan	OPM/EPM	3411 N Martin Luther King Blvd	Lansing	48906–2934
JFHQ State of Minnesota	OPM/EPM	20 West 12th St	St. Paul	55155–2098
JFHQ State of Mississippi	OPM/EPM	P.O. Box 5027	Jackson	39296–5027
JFHQ State of Missouri	OPM/EPM	2302 Militia Dr	Jefferson City	65101–1468
JFHQ State of Montana	OPM/EPM	P.O. Box 4789	Helena	59604–4789
JFHQ State of Nebraska	OPM/EPM	1300 Military Rd	Lincoln	68508–1090
JFHQ State of Nevada	OPM/EPM	2525 South Carson St	Carson City	89701–5502
JFHQ State of New Hampshire	OPM/EPM	4 Pembroke Rd	Concord	03301–5652
JFHQ State of New Jersey	OPM/EPM	3650 Saylor's Pond Rd	Fort Dix	08640–7600
JFHQ State of New Mexico	OPM/EPM	P.O. Box 4277	Santa Fe	87502–4277
JFHQ State of New York	OPM/EPM	330 Old Niskayuna Rd	Latham	12110–2224

**Table H-4
Joint Forces Headquarters addresses by state—Continued**

JFHQ and State	Attention	Mailing Address	City	ZIP Code
JFHQ State of North Carolina	OPM/EPM	4105 Reedy Creek Rd	Raleigh	27607-6410
JFHQ State of North Dakota	OPM/EPM	Fraine Barracks, P.O. Box 5511	Bismarck	58502-5511
JFHQ State of Ohio	OPM/EPM	2825 W Granville Rd	Columbus	43235-2789
JFHQ State of Oklahoma	OPM/EPM	3501 Military Circle NE	Oklahoma City	73111-4398
JFHQ State of Oregon	OPM/EPM	P.O. Box 14350	Salem	97309-6047
JFHQ State of Pennsylvania	OPM/EPM	Department of Military Affairs, Bldg 714	Annaville	17003-5002
JFHQ Puerto Rico	OPM/EPM	P.O. BOX 3786	San Juan	00904-3786
JFHQ State of Rhode Island	OPM/EPM	645 New London Ave	Cranston	02920-3783
JFHQ State of South Carolina	OPM/EPM	1 National Guard Rd	Columbia	29201-4766
JFHQ State of South Dakota	OPM/EPM	2823 West Main	Rapid City	57702-8186
JFHQ State of Tennessee	OPM/EPM	P.O. Box 41502	Nashville	37204-1502
JFHQ State of Texas	OPM/EPM	P.O. Box 5218	Austin	78763-5218
JFHQ State of Utah	OPM/EPM	12953 South Minuteman Dr	Draper	84020-1776
JFHQ State of Vermont	OPM/EPM	Green Mountain Armory	Colchester	05446-3004
JFHQ State of Virginia	OPM/EPM	Building 316, Fort Pickett	Blackstone	23824-6316
JFHQ Virgin Islands	OPM/EPM	RR 2, Box 9925, Mannings Bay, Kingsville	St. Croix	00850-9764
JFHQ State of Washington	OPM/EPM	Camp Murray	Tacoma	98430-5000
JFHQ State of West Virginia	OPM/EPM	1703 Coonskin Drive	Charleston	25311-1085
JFHQ State of Wisconsin	OPM/EPM	P.O. Box 8111	Madison	53708-8111
JFHQ State of Wyoming	OPM/EPM	5500 Bishop Blvd	Cheyenne	82009-3002

H-17. Processing appeals

Policy and procedures for processing evaluation appeals are in chapter 4. The CNGB is responsible for screening and acting on, or forwarding, all appeals submitted by ARNG members for periods of ARNG service.

H-18. Submission of documents

a. Procedures for processing CDR's or Commandant's Inquiries are as described in chapter 4; however, inquiries will be forwarded as necessary to NGB (NGB-ARP-C), through the State OPM or EPM office (address in table H-4).

b. Appeals will be submitted in memorandum format as discussed in chapter 4. They will be sent directly to the NGB (NGB-ARP-PE) (address in app F) by the appellant. There is no requirement to process appeals through command channels, nor will any element subordinate to NGB establish such a policy. Every attempt will be made to avoid the use of command channels for communications concerning the appeal in order to protect the interest of the command elements, witnesses and the appellant. Inclusion of the appellant's current home address and phone number will allow for direct contact between appellant and the Officer Management Branch appeals technician assigned to the case for questions that may arise during the adjudication process. Therefore, appeals that do not include a home address and phone number will be returned without action unless the memorandum of appeal clearly states that the appellant prefers the use of official channels in lieu of direct contact. Any questions concerning actual or anticipated appeals will be addressed to the Appeals and Analysis Section, the Officer Management Branch, or the Enlisted Management Branch.

Appendix I Internal Control Evaluation Checklist

I-1. Function

The function covered by this evaluation is the administration of the Army ERS.

I-2. Purpose

The purpose of this evaluation is to assist assessable unit managers, internal control administrator, and test control officers in evaluating the key internal controls outlined. It is not intended to cover all controls.

I-3. Instructions

These key internal controls must be formally evaluated at least once every 5 years or whenever the internal control administrator changes. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Internal Control Evaluation Certification). Answers must be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, simulation, other). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation.

I-4. Test questions

- a.* Are rating chains being established by the CDR, commandant, or leader of an organization and maintained by rating officials?
- b.* Is the rated Soldier participating in counseling, providing and discussing with the rating chain the duty description, performance objectives or academic standards and/or course requirements with the rater within 30 days after the beginning of each new rating period and at least quarterly thereafter?
- c.* Is the rater providing a copy of his or her support form, along with the senior rater's support form, to the rated Soldier at the beginning of the rating period?
- d.* Are senior raters ensuring rating officials counsel the rated Soldier, individually and throughout the rating period, on meeting his or her objectives and complying with the professional standards of the Army?
- e.* Are evaluation reports being submitted in accordance with the requirements outlined in para 3-2?
- f.* Are rating officials utilizing DA Form 2166-8-1 in accordance with the process outlined in DA Pam 623-3?
- g.* Are local units maintaining copies of submitted classified evaluation reports in accordance with AR 380-5?
- h.* Are the most recent version of evaluation report forms found in the "My Forms" Portal on AKO being utilized for preparation and submission requirements?

I-5. Supersession

This checklist is the initial Internal Control Evaluation Checklist for the Army ERS.

I-6. Comments

Help make this a better tool for evaluating management controls. Submit comments to Commander, U.S. Army Human Resource Command, (AHRC-PDV-E), 1600 Spearhead Division Avenue, Department 470, Fort Knox, KY 40122-5407.

Glossary

Section I Abbreviations

1LT

first lieutenant

1SG

first sergeant

2LT

second lieutenant

ABCMR

Army Board for Correction of Military Records

ACC

Army competitive category

ACOM

above center of mass

ADOS

Active Duty for Operational Support

ADS

active duty support

ADT

active duty for training

AER

academic evaluation report

AG

Adjutant General

AGR

active guard reserve

AKO

Army Knowledge Online

ALC

Advanced Leaders Course

AMEDD

Army Medical Department

AN

Army Nurse Corps

AOC

area of concentration

APFT

Army physical fitness test

APMC

Army Medical Department Professional Management Command

AR

Army regulation

ARNG

Army National Guard

ASAP

Army Substance Abuse Program

ASRB

Army Special Review Board

AT

annual training

ATRRS

Army Training Requirements and Resources System

BCOM

below center of mass

BCT

brigade combat team

BDE

brigade

BG

brigadier general

BN

battalion

BOLC

Basic Officer Leaders Course

CAC

common access card

CDR

commander

CG

commanding general

CNGB

Chief, National Guard Bureau

CO-ADOS

contingency operations-active duty for operational support

COL

colonel

COM

center of mass

CPL

corporal

CPT

captain

CSM

command sergeant major

CW2

chief warrant officer two

CW3

chief warrant officer three

CW4

chief warrant officer four

CW5

chief warrant officer five

DA

Department of the Army

DA PAM

Department of the Army Pamphlet

DC

dental corps

DCA

deputy commander for administration

DCAR, ORT&M

Deputy Commander Army Reserve for Operations, Readiness, Training, and Mobilization

DCCS

deputy commander for clinical services

DCG

deputy commanding general

DCS

Deputy Chief of Staff

DENCOM

dental command

DENTAC

Dental Activity

DIMA

drilling individual mobilization augmentee

DOD

Department of Defense

DODD

Department of Defense directive

DODI

Department of Defense instruction

DSN

defense switched network

DVC

District Veterinary Command

ECT

extended combat training

EO

equal opportunity

EPM

enlisted personnel manager

ERS

Evaluation Reporting System

FLEP

Funded Legal Education Program

FM

field manual

GG

general government

GM

general manager

GS

general schedule

HQDA

Headquarters, Department of the Army

IDT

inactive duty training

IMA

individual mobilization augmentee

ING

inactive national guard

IRR

individual ready reserve

IWRS

Interactive Web Response System

JAGC

Judge Advocate General's Corps

JFHQ

Joint Forces Headquarters

LT

lieutenant

LTC

lieutenant colonel

MAJ

major

MASF

multi-source assessment and feedback

MC

medical corps

M-DAY

man-day

MEDCOM

medical command

MEDDAC

medical department activity

MG

major general

MILPER

military personnel

MOS

military occupational specialty

MS

medical service corps

MSG

master sergeant

MT

military technician

NCO

noncommissioned officer

NCOER

noncommissioned officer evaluation report

NGB

National Guard Bureau

OCS

Officer Candidate School

OER

officer evaluation report

OGE

Office of Government Ethics (Forms)

OJT

on-the-job training

OMPF

official military personnel file

OPM

officer personnel manager

PCS

permanent change of station

PMOS

primary military occupational specialty

RC

reserve component

REFRADOS

Release from Active Duty for Operational Support

REFRADOS-RC

Release from Active Duty for Operational Support-Reserve Component

REFRADT

release from active duty for training

REFRAT

release from annual training

REFRACO-ADOS

Release from contingency-Active Duty for Operational Support

RMC

regional medical command

RVC

regional veterinary command

S1

adjutant

SD

special duty

SES

senior executive service

SGM

sergeant major

SGT

sergeant

SF

standard form

SJA

staff judge advocate

SP

speciality corps

SSN

social security number

TCS

temporary change of station

TDY

temporary duty

TJAG

The Judge Advocate General

TPU

troop program unit

TRADOC

Training and Doctrine Command

UA

universally administrative

UCMJ

Uniform Code of Military Justice

USAHRC

U.S. Army Human Resources Command

USAR

U.S. Army Reserve

USARC

U.S. Army Reserve Command

USC

United States Code

USMA

United States Military Academy

VC

Veterinary Corps

VETCOM

Veterinary Command

WO1

warrant officer one

WOBC

warrant officer basic course

WOCS

Warrant Officer Candidate School

WTU

Warrior transition unit

Section II

Terms

appeal

The procedure taken by the rated Soldier or another interested party to correct administrative or substantive type errors for evaluation reports accepted for inclusion in the rated officer's or NCO's OMPF.

appointed duties

Additional responsibilities not normally associated with the duty description.

Army competitive category

Active Army officers in the basic branches. This category does not include the specialty branches of the Chaplain's Corps, Judge Advocate General's Corps, or the Army Medical Department.

bullet comments

Short, concise, to-the-point comments starting with action words (verbs) or possessive pronoun (his or her). Bullet comments will not be longer than two lines, preferably one, and no more than one bullet to a line.

calendar year

A period that is 365 days, or 366 days if the Leap Year date, 29 February, is included.

chain of command

The succession of military CDRs, superior to subordinate, through which command is exercised. Normally, CDRs evaluate CDRs.

chain of supervision

The individuals (military and/or civilian) involved in providing operational, functional, and/or technical supervision of a rated Soldier.

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 opinions, and make good decisions. Closely allied with competence is the constant desire to perform better, to listen and learn more, and to do each task completely to the best of one's ability. Competence is exemplified through learning, growing, setting standards and achieving them, creating and innovating, taking prudent risks, and never settling for less than the best. A Soldier's demonstration of a commitment to excellence.

Commander's or Commandant's Inquiry

Investigation into a Soldier's evaluation report made by an official in the chain of command or supervisory chain above the designated rating officials involved in the allegations to determine if an illegality, injustice, or regulatory violation has occurred. The appointing official for a CDR's or Commandant's Inquiry into an OER will normally be the CDR, commandant, or civilian supervisor who rates the senior rater. The appointing official for an NCOER will normally be the CDR, commandant, or civilian supervisor who rates the reviewer.

"Complete the Record"

An optional evaluation report intended to update a Soldier's file with performance and potential information that has not previously been documented in the Soldier's evaluation history since the time of the most recent evaluation report. MILPER messages clearly specify the criteria for "Complete the Record" reports ("THRU" date and required receipt date at HQDA).

dual supervision

A situation in which an officer or warrant officer who, during the entire period of evaluation, is assigned separate responsibilities and receives supervision from two different chains of command or supervision. This provision does not apply to NCO rating schemes, NCOERs, or AERs.

evaluation report timeliness

A resulting equation (percentage of reports submitted on time) that is correlated to individual senior raters on those reports and reflects submission to HQDA within regulatory guidelines.

FROM date

The beginning date of the period covered; the day following the “THRU” (ending) date of the previous evaluation report period.

Headquarters, Department of the Army electronically generated label

A label placed over the senior rater’s potential box check on an OER, part VII, block b. This label is used only for OERs for officers (2LT through BG) and warrant officers (WO1 through CW4). It shows a comparison of the block check on the OER to all box checks for a given grade in a senior rater’s profile. This 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 subordinate Soldiers and civilian employees and their Families and welcoming the opportunity to serve them; conducting counseling; setting the example by word and act or deed; can be summarized by skills, attributes and traits as exhibited on the front side of the OER and NCOER; able to instill the spirit to achieve and win; and inspiring and developing excellence. A Soldier who is cared for today is a Soldier who leads tomorrow.

misfire

When the percentage of ACOM assessments in a senior rater’s profile meets or exceeds 50 percent of the total number of OERs for a particular grade. This does not apply to NCOERs or AERs.

nonrated time

Time periods when the rated Soldier cannot be evaluated by the rating officials. Such time periods include but are not limited to school attendance, in-transit travel, hospitalization or patient status, convalescent leave, leave periods of 30 days or more, and periods when the rater has not met minimum qualifications. Periods such as breaks in service or time spent in an IRR, Ready Reserve, or ING status are not ratable periods; therefore, these periods will appear as gaps in a rated Soldier’s evaluation report history.

performance counseling

Planned method to inform Soldiers about their duties and expected performance standards and provide feedback on actual performance. Soldiers’ performance includes appearance, conduct, mission accomplishment, and the manner in which duties are carried out. Honest feedback lets Soldiers know how well they are performing compared to the expected standards.

performance evaluation

Assessments of how well the rated Soldier met his or her duty requirements and adhered to Army professional leadership standards. Performance is evaluated by observing a rated Soldier’s actions, demonstrated behavior, and results in terms of adherence to the Army Values and his or her responsibilities. Due regard is given to the experience level of the rated Soldier, efforts made, and results achieved.

period of report

Time period covered by an evaluation report, which includes rated and nonrated time. The period begins the day following the “THRU” (ending) date of the most recent evaluation report and ends on the day of the event causing the current report to be rendered or the last day of supervision or duty day before a Soldier’s departure.

physical fitness 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 responsibility of all leaders is concern with Soldiers’ military bearing and making on-the-spot corrections, as needed.

potential evaluation

An assessment of the rated Soldier's ability, compared with that of other Soldiers of the same grade, to perform in positions of greater responsibility and/or higher grades.

rated Soldier

A rated officer, warrant officer, or NCO.

rated time

Time when a rated Soldier has been assigned under a valid rating chain for the purposes of counseling, guidance, and evaluation of performance and potential.

rater

First-line supervisor of the rated Soldier who is designated as the rater on the rating scheme. Primary role is that of evaluating, focusing on performance, and performance counseling. Conducts face-to-face performance counseling with the rated Soldier on duty performance and professional development within the first 30 days of each rating period and, for a majority of Soldiers, at least quarterly thereafter; for others, periodically as needed.

rating chain

The rated Soldier's 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

Designated individuals (rater, intermediate rater, senior rater, and reviewer) as published on the rating scheme who render an evaluation on the rated Soldier.

rating scheme

Written, published document showing rated Soldiers, their rating officials, and the effective date on which the rating officials assumed their role.

redress

Procedures by which rated Soldiers can address errors, bias, or injustices during and after the preparation of an evaluation report and have them corrected.

referral

The process of formally providing a completed evaluation report to a rated officer for review and acknowledgment. Referral is accomplished 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. The referral may be accomplished face-to-face, but a written referral method is recommended when the Soldier is not present to accomplish the process in person. This provision does not apply to NCOERs or NCO AERs.

relief

The removal of a rated Soldier from an assigned position based on a decision by a member of the Soldier's chain of command/supervisory chain that his or her personal or professional characteristics, conduct, behavior, or performance of duty warrant his or her removal from the position in the best interests of the U.S. Army. Relief actions require the completion of a "Relief for Cause" OER or NCOER. A relieved officer cannot prepare or submit an evaluation report on his or her subordinates during the suspension period 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 the Soldier lives, and his or her 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 reporting serious problems without fear of repercussions. Also refers to the rated Soldier accepting responsibility for his or her own actions and those of his or her subordinates.

reviewer

For NCOERs, a third-line rating official who is 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 MSGs may serve as reviewers provided they are serving in an authorized SGM or CSM position. Primary role is that of providing oversight in the evaluation reporting process. For OERs, the senior rater typically conducts the final review of the evaluation report and the reporting process, unless the senior rater is not an Army officer or civilian qualified to senior rate the rated officer.

senior rater

Normally, the second-line rating official who is in the direct line of supervision of the rated Soldier and senior to the rater by either pay grade or date of rank. Primary role is evaluating and focusing on the potential of the rated Soldier; responsible for providing a performance/potential assessment of the rated Soldier. Obtains the rated Soldier's signature on the evaluation report or enters appropriate statement if rated Soldier refuses, is unable, or unavailable to sign. For OERs, performs the referral of reports with negative or derogatory comments to rated officers; the third-line supervisor when an intermediate rater exists in the chain of command or supervision.

“Senior Rater Profile” report (DA Form 67–9–2)

For OERs only, a documented rating history, compiled at HQDA; it displays the senior rater's rating history by grade. Also known as the “DASH–2” report and accompanied by the senior rater evaluation timeliness report.

“Senior Rater Profile” restart

For OERs only, the deletion of an established rating history for all grades or a specific grade or grade grouping, if the senior rater meets all requirements for a restart. When accomplished, a new rating history (profile) is structured based on evaluation reports rendered following the restart.

suspension

The temporary removal of the rated Soldier from his or her duty position pending a final decision on an adjudicated issue. The period of suspension will be shown as nonrated time on the evaluation report. The suspended Soldier cannot prepare or submit an evaluation report on his or her subordinates during the time he or she is suspended.

THRU date

The ending date of the period covered on an evaluation report; the due date for an “Annual” evaluation report; the date on which an event warranting a report to be rendered occurs; or the last day of supervision or last duty day before a Soldier's or a rating official's departure.

training

Preparing Soldiers, units, and combined arms teams to perform assigned duties; also teaching Soldiers skills and knowledge. Army leaders contribute to team training and are often responsible for unit training (squads, crews, sections), but individual Soldier training is the most important. Quality training bonds units; leads directly to good discipline; concentrates on wartime missions; is tough and demanding without being reckless; is performance oriented; 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.

unit

The actual military unit, organization, or agency to which the rated Soldier was assigned and performed duty during the rating period.

values or Army Values

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 foundation upon which everything else stands (leadership, discipline, responsibility, selflessness, honesty, integrity, and personal courage). 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.

UNCLASSIFIED

PIN 083280-000