

Department of the Army
Pamphlet 623-3

Personnel Evaluation

Evaluation Reporting System

Headquarters
Department of the Army
Washington, DC
10 November 2015

UNCLASSIFIED

SUMMARY of CHANGE

DA PAM 623-3
Evaluation Reporting System

This major revision, dated 10 November 2015-

- Renames DA Form 67-10-4 (Strategic Grade Plate (O7) Officer Evaluation Report) to DA Form 67-10-4 (Strategic Grade Plate General Officer Evaluation Report) (para 1-1).
- Includes one broadening assignment recommendation for noncommissioned officers on DA Form 2166-9-1 (NCO Evaluation Report (SGT)), DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)), and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM)) to assist in talent management (paras 3-7, 3-12, and 3-17).
- Redefines the senior rater four-box check system and label technique for DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)), and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM)) (paras 3-12 and 3-17).
- Incorporates a new rater four-box check system and label technique for DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)), and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM)) (paras 3-12 and 3-17).
- Includes a new senior rater's managed assessment for DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)) and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM)) reinvigorating the importance of the senior rater to the overall assessment process and reinforcing accountability (paras 3-12 and 3-17).
- Includes a new DA Form 2166-9 series (NCOERs) rater assessment and "Rater Tendency Report" to track the rating history of each rater for noncommissioned officers of all components, by rank, for staff sergeant through command sergeant major (para 3-18).
- Updates addendum procedures for newly received derogatory information to also incorporate noncommissioned officer evaluation reports (para 3-22 and para 5-3).
- Changes procedure requirements on DA Form 1059 (Service School Academic Evaluation Report) to requiring "Failed to Achieve Course Standards" being marked for when rated a Soldier fails to meet Army Physical Fitness and/or body composition standards (para 4-3).
- Updates processing procedures for DA Form 2166-9-1 (NCO Evaluation Report (SGT)), DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)), and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM)) DA Form 2166-9 series (NCOERs (para 5-1 and app B).
- Removes nonrated code "B" for DA Form 67-10 series (OERs) (table 2-25).

- Includes new DA Form 2166-9-1 (NCO Evaluation Report (SGT)), DA Form 2166-9-2 (NCO Evaluation Report (SSG - 1SG/MSG)), and DA Form 2166-9-3 (NCO Evaluation Report CSM/SGM), based on Army leadership levels, linking performance to attributes and competencies (throughout).
- Includes a new DA Form 2166-9-1A (NCO Evaluation Report Support Form), mandated for use by noncommissioned officers in the ranks of corporal through command sergeant major, linking development with attributes and competencies (throughout).
- Replaces DA Form 2166-8 (NCO Evaluation Report) and DA Form 2166-8-1 (NCOER Counseling and Support Form) (throughout).
- Incorporates use of Evaluation Entry System as primary method for completing and submitting DA Form 2166-9 series (NCOERs) (throughout).
- Incorporates procedures for when official .gov or .mil email address exceeds character limitations allowable for entry (throughout).
- Updates basic "Branch" entry requirements for DA Form 67-10 series (OERs) and DA Form 2166-9 series (NCOERs) for inclusion of Voluntary Transfer Incentive Program and/or career field designation (throughout).
- Incorporates alternate use of an issued Department of Defense identification number in lieu of a nine digit social security number for the rated Soldier, rater, and senior rater (throughout).

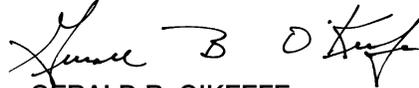
Personnel Evaluation

Evaluation Reporting System

By Order of the Secretary of the Army:

MARK A. MILLEY
General, United States Army
Chief of Staff

Official:



GERALD B. O'KEEFE
Administrative Assistant to the
Secretary of the Army

History. This publication is a major revision.

Summary. This pamphlet prescribes the policy and tasks for the Army's Evaluation Reporting System, including DA Form 67-10 series (OERs), DA Form 2166-9 series (NCOERs), DA Form 1059s and DA Form 1059-1s (AERs), 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 preparation procedures for DA Form 2166-9-1A (NCOER support form), DA Form 2166-9-1, DA Form 2166-9-2, and DA Form 2166-9-3 (DA Form 2166-9 series or NCOERs), which integrates use of a new rater's assessment for noncommissioned officers, incorporates a new rater tendency report, integrates a new senior rater's managed assessment for staff sergeants through command sergeants major,

and integrates Army leadership doctrine on DA Form 2166-9 series (NCOERs) and DA Form 2166-9-1A NCO support form.

Applicability. This pamphlet applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. It also applies to Department of the Army civilians, and to U.S. Armed Forces and U.S. Coast Guard officers, officers of allied armed forces, and employees of the 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. The guidance provided in this pamphlet applies during mobilization in conjunction with Personnel Policy Guidance published for each operation and issued by Headquarters, Department of the Army.

Proponent and exception authority. The proponent 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 Deputy Chief of Staff, G-1, has delegated this approval authority to the Commanding General, Human Resources Command, who may further delegate this authority to a division chief, Human Resources Command, in the rank of colonel or the civilian grade equivalent.

Human Resources Command is a field operating agency to the proponent agency. Activities may request a waiver to this regulation by providing justification which includes a full analysis of the expected benefits and must include a formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

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

Distribution. This pamphlet is available in electronic media only and is intended for command levels A, B, C, D, and E for the Regular Army, Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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Glossary

Chapter 1 Introduction

1-1. Purpose

This pamphlet provides procedural guidance for completing and submitting to Headquarters, Department of the Army (HQDA) evaluation reports and associated support forms that are the basis for the Army's Evaluation Reporting System. These include Department of the Army (DA) Form 67-10 series: DA Form 67-10-1 (Company Grade Plate (O1-O3; WO1-CW2 Officer Evaluation Report), DA Form 67-10-2 (Field Grade Plate (O4-O5; CW3-CW5) Officer Evaluation Report), DA Form 67-10-3 (Strategic Grade Plate (O6) Officer Evaluation Report), DA Form 67-10-4 (Strategic Grade Plate General Officer Evaluation Report), hereafter known collectively as DA Form 67-10 series (Officer Evaluation Reports) (OER) or "OER"; DA Form 67-10-1A (Officer Evaluation Report Support Form) and DA Form 2166-9-1A (NCO Evaluation Report Support Form), hereafter known collectively as support forms; DA Form 2166-9-1 (NCO Evaluation Report (SGT)); DA Form 2166-9-2 (NCO Evaluation Report (SSG-1SG/MSG)); DA Form 2166-9-3 (NCO Evaluation Report (CSM/SGM)), hereafter known collectively as DA Form 2166-9 series (NCO Evaluation Reports)(NCOER) or "NCOER"; DA Form 1059 (Service School Academic Evaluation Report); and DA Form 1059-1 (Civilian Institution Academic Evaluation Report), hereafter known collectively as AERs. DA Forms 67-10 series (OERs), DA Form 2166-9 series (NCOERs), and DA Form 1059, and DA Form 1059-1 (AERs), hereafter are collectively referred to as evaluation reports. Policy pertaining to each of these unique reports and support forms is contained in Army Regulation (AR) 623-3, Evaluation Reporting System. Send requests for clarification or exceptions to procedures to the U.S. Army Human Resources Command (HRC) (AHRC-PDV-E) (address and contact information in app B). Current information on updated applications, changes in procedural guidance, and training are available online at <http://www.hrc.army.mil/>.

1-2. References

See appendix A.

1-3. Explanation of abbreviations

See glossary.

1-4. Evaluation report forms

The Army Publishing Directorate (APD)'s Web site (<http://www.apd.army.mil> under the "Forms") provides the most current versions of mandatory forms used in the evaluation process. This pamphlet addresses specific instructions for the preparation and submission of evaluation reports and support forms.

1-5. 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), 10 USC 3013, Executive Order (EO) 9397, as amended (SSN).

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

c. Routine use. Evaluation reports will be maintained in the rated Soldier's Army Military Human Resource Record (AMHRR). A copy will be given directly to the rated Soldier or sent to a forwarding address. The DOD blanket routine uses may apply to this collection.

d. Disclosure. Disclosure of a full nine-digit social security number (SSN) for the rated Soldier, the rater, and senior rater is voluntary. As an alternative to providing an SSN, individuals possessing a Department of Defense (DOD) issued common access card (CAC) may use their unique 10-digit DOD identification number (located on the reverse side of the CAC) in lieu of providing a full nine-digit SSN for the rated Soldier, the rater, and senior rater. Failure to provide verified SSNs or DOD identification numbers will result in delayed, erroneous, or failure of processing evaluation report submitted to HQDA.

Note: Completed forms contain personnel identifiable information and require special handling.

Chapter 2 Officer Evaluation Report Forms and Preparation

Section I

DA Form 67-10-1A (Officer Evaluation Report Support Form)

2-1. Purpose and process for DA Form 67-10-1A

a. Purpose. DA Form 67-10-1A promotes a top-down emphasis on leadership communication, integrating rated

officer participation in objective setting, performance counseling, and the evaluation process. At the beginning of the rating period, it enhances planning and relates performance to mission through rater and rated officer joint discussion of the duty description and major performance objectives.

Note: The word “officer” refers to both commissioned officers and warrant officers, unless otherwise specified. However, rating officials will recognize the basic differences between commissioned and warrant officers when counseling and preparing evaluation reports.

Note: Use of DA Form 67–10–1A is mandatory for use by all Army Officers in grades warrant officer one (WO1) through colonel (O6). Content hereafter captures this with “(or equivalent)” language associated to support form content, as rating officials, brigadier general (O7) and above may choose to utilize other mediums.

During the rating period, encourages performance counseling and the best use of individual talent through continuous communication to update and revise the performance objectives. At the end of the rating period, enables rated officer to provide input to the appropriate version of the series DA Form 67–10 series (Officer Evaluation Report).

b. Process. Rating officials of second lieutenants (2LTs) through colonels (COLs) and warrant officers one (WO1s) through chief warrant officers five (CW5s) will use DA Form 67–10–1A. When an officer is serving under dual supervision, each chain of supervision will use a DA Form 67–10–1A. The DA Form 67–10–1A is not used to evaluate an officer and therefore is not forwarded to HQDA with the completed OER.

Note: When a rated officer is under dual supervision, DA Form 67–10–1A support forms (or equivalent) are required by both chains of commands or supervision.

(1) *Beginning of the rating period.*

(a) Shortly after the rated officer assumes their duties, the rater provides the rated officer with a copy of their and the senior rater’s DA Form 67–10–1A (or equivalent). The rated officer then drafts his or her DA Form 67–10–1A (duty description (part IV) and major performance objectives (part V)).

Note: Always use the current version of form in accordance with paragraph 1–2. Using the Wizard application within the Evaluation Entry System (EES) allows the automatic population for the rated officer’s administrative data in part I of the electronic form based on the most current data from the authoritative database at HQDA. Auto-populated administrative data may be manually corrected, as needed. The use of SSNs on support forms is optional because these documents are used exclusively at the local level; however, full SSNs or DOD Identification (DODID) numbers for the rated officer, the rater, and the senior rater are needed to create a DA Form 67–10–1A within EES and assist in populating officer evaluation reports directly from the DA Form 67–10–1A.

(b) Within the first 30 days, the rater conducts the initial counseling with the rated officer and reviews the duty description and major performance objectives for any necessary revision and approval. The rater will discuss and establish goals that promote/support a healthy workplace environment conducive to the growth and development of personnel. The rater will also discuss and establish goals for supporting the EO and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP Program’s initiatives, reducing and eliminating sexual harassment and sexual assault in their unit (to be included in Part V, “CHARACTER”). The rater will review the completed multisource assessment and feedback (MSAF) date entered in Part I, block k and provide appropriate recommendations concerning the MSAF in Part V, block e. Additionally, the rater will provide the rated officer self development goals in part VI.

(c) When the initial discussion is completed, the rated officer dates and initials in part III of the DA Form 67–10–1A. The rater will enter the date initial counseling occurred and the dates the rated officer had access to his and the senior rater’s DA Form 67-10-1A (or equivalent) prior to initial counseling. The rater initials in part III and forwards the form to the senior rater. The senior rater reviews, comments as needed in part VII, initials DA Form 67–10–1A in part III and returns it to the rater. The rater will return the original DA Form 67–10–1A to the rated officer for the rated officer’s signature and date located in part VII. The rater will retain a copy for record.

(2) *During the rating period.* The rated officer uses the DA Form 67–10–1A as a performance guide. The rater conducts periodic follow-up performance counseling with the rated officer to make needed adjustments to objectives.

(a) For LTs and/or WO1s, quarterly counseling is mandatory; for captains (CPTs) and/or chief warrant officers two (CW2s), the counseling goal is once around midpoint (3 to 6 months into the rating period); for field grade officers, follow-up counseling is on an as-needed basis.

(b) The rater and rated officer discuss and document significant contributions. Additionally, the rater and rated officer discuss and document performance accomplishments as they relate to adherence to leadership attributes and demonstration of competencies in part V, blocks A through F. The rater will discuss how well the officer is promoting and/or supporting the Equal Opportunity (EO) and Equal Employment Opportunity (EEO) programs, fostering a climate of dignity and respect, adhering to the SHARP Program’s initiatives, reducing and eliminating sexual harassment and sexual assault in their unit in Part V, “CHARACTER”.

Note: (To apply changes the rated officer will need to remove their signature in part VII.)

Upon completion of each periodic counseling session, the rated officer and the rater initial and date DA Form 67–10–1A in part III. The senior rater then reviews (and comments as needed in part VII) and initials in part III and returns it to the rater. The rater will return the original DA Form 67–10–1A to the rated officer for signature/date located in part VII. The rater will retain a copy for record.

(3) *End of the rating period.* At the end of the rating period, the rated officer completes DA Form 67–10–1A by

documenting how well they accomplished the major performance objectives during the rating period, focusing on the most significant objectives and documenting performance accomplishments as they relate to adherence to leadership attributes and demonstration of competencies made. The rated officer then forwards the completed DA Form 67-10-1A to the rater. The rater obtains the current required version of the electronic OER and uses the DA Form 67-10-1A as input in preparing his or her evaluation of the rated officer.

Note. The electronic version of DA Form 67-10-1A within the EES can be used to create a draft OER allowing portions of DA Form 67-10-1A data to auto populate onto the draft OER.

The rater uses the DA Form 67-10-1A as input to complete parts I through IV of the OER. They then forward the DA Form 67-10-1A and OER to the intermediate rater, if applicable, or the senior rater. The intermediate rater, if applicable, also uses the DA Form 67-10-1A as OER input and forwards the DA Form 67-10-1A and OER to the senior rater. The senior rater uses the DA Form 67-10-1A as OER input and returns the original DA Form 67-10-1A to rated officer. See figure 2-1 for a sample of DA Form 67-10-1A.

Note: Additional attachments to DA Form 67-10-1A may be used, when required.

HQDA#:				OFFICER EVALUATION REPORT SUPPORT FORM For use of this form, see AR 623-3 ; the proponent agency is DCS, G-1.		SEE PRIVACY ACT STATEMENT IN AR 623-3	
PART I - ADMINISTRATIVE (Rated Officer)							
a. NAME (Last, First, Middle Initial)	b. SSN (or DOD ID No.)	c. GRADE/ RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (STATUS CODE)		
DOE, JOHN	000000000	ILT	20130901	EN			
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND			h. UIC CODE	i. THRU DATE OF LAST COMPLETED EVALUATION			
50th MRBC, 5th EN BN, Ft. Leonard Wood, MO 65473 FORSCOM			WBAOAA	20140331			
j. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)			k. MSAF DATE				
john.doe18@mail.mil			20140601				
PART II - AUTHENTICATION							
a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN (or DOD ID No.)	a3. RANK	a4. POSITION	a5. EMAIL ADDRESS (.gov or .mil)			
SMITH, JOHN	111111111	CPT	Company CDR	john.smith18@mail.mil			
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)	b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION	b5. EMAIL ADDRESS (.gov or .mil)			
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)	c2. SSN (or DOD ID No.)	c3. RANK	c4. POSITION	c5. EMAIL ADDRESS (.gov or .mil)			
GRANT, JOE	222222222	LTC	Battalion CDR	joe.grant18@mail.mil			
c6. SENIOR RATER'S ORGANIZATION	c7. BRANCH	c8. COMPONENT	c9. SENIOR RATER PHONE NUMBER				
5th Engineer Battalion Fort Leonard Wood, Missouri 65473	EN	RA	777-888-9999				
d1. INDIVIDUAL TO PERFORM SUPPLEMENTARY REVIEW (Last, First, Middle Initial) - (IF REQUIRED)	d2. RANK	d3. POSITION	d4. EMAIL ADDRESS (.gov or .mil)				
WILLIAM, JOHN	COL	Brigade CDR	john.william5687@mail.mil				
PART III - VERIFICATION OF FACE - TO - FACE DISCUSSION							
MANDATORY RATER/RATED OFFICER INITIAL FACE-TO-FACE COUNSELING ON DUTIES, RESPONSIBILITIES AND PERFORMANCE OBJECTIVES FOR THE CURRENT RATING PERIOD TOOK PLACE ON (DATE) <u>20140402</u> RATED OFFICER INITIALS _____ RATER INITIALS _____ SENIOR RATER INITIALS _____ RATED OFFICER ACCESS TO SUPPORT FORMS PRIOR TO INITIAL COUNSELING: RATER (Date <u>20140401</u>) SENIOR RATER (Date <u>20140401</u>)							
PERIODIC RATER / RATED OFFICER FOLLOW-UP FACE-TO-FACE COUNSELINGS:							
DATE <u>20140702</u>	RATED OFFICER INITIALS _____	RATER INITIALS _____	SENIOR RATER INITIALS _____				
DATE <u>20141002</u>	RATED OFFICER INITIALS _____	RATER INITIALS _____	SENIOR RATER INITIALS _____				
DATE <u>20150102</u>	RATED OFFICER INITIALS _____	RATER INITIALS _____	SENIOR RATER INITIALS _____				
PART IV - RATED OFFICER - DUTIES AND RESPONSIBILITIES							
a. PRINCIPAL DUTY TITLE: Executive Officer				b. POSITION AOC/BRANCH: 12A00			
c. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES: (See DA Pam 623-3, para 2-1)							
PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS							
a. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 2-1)				b. LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 2-1)			

Figure 2-1. Example of DA Form 67-10-1A (page 1)

HQDA#

PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS CONTINUED Describe adherence to leadership attributes and demonstration of competencies

A. CHARACTER: (Army Values, Empathy, Warrior Ethos/Service Ethos, Discipline - see ADRP 6-22)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

B. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience - see ADRP 6-22); (Safety/ Individual and unit deployment readiness/Support of behavioral health goals, AR 623-3 and Mission Command Principals, see ADP 6-0, addressed under fitness and resilience)

APFT GOALS: PU 90 SU 92 RUN 12:40 HEIGHT/WEIGHT _____ (ONLY AS NEEDED)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

C. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, expertise - see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

D. LEADS: (Leads others, builds trust, extends influence beyond the chain of command, Leads by example, Communicates-see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

E. DEVELOPS: (Creates a positive environment/Fosters esprit de corps, prepares self, Develops others, Stewards the profession - see ADRP 6-22)

MSAF PROJECTED COMPLETION DATES IAW AR 350-1 DATE: 20170331

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

F. ACHIEVES: (Gets Results - see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

(See DA Pam 623-3, para 2-1)

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

(See DA Pam 623-3, para 2-1)

DA FORM 67-10-1A, NOV 2015

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Figure 2-1. Example of DA Form 67-10-1A—Continued (page 2)

HQDA#

PART VI - RATER SELF DEVELOPMENT GOALS

(See DA Pam 623-3, para 2-1)

PART VII - SENIOR RATER COMMENTS

(See DA Pam 623-3, para 2-1)

RATED SOLDIER -SIGNATURE AND DATE: _____

SAMPLE

Figure 2-1. Example of DA Form 67-10-1A—Continued (page 3)

Section II

DA Form 67–10 series Officer Evaluation Reports

2–2. Purpose and process for DA Form 67–10 series

a. Purpose. The DA Form 67–10 series allows rating officials to provide HQDA with performance and potential assessments of each rated officer for HQDA selection board processes. It also provides valuable information for use by successive members of the rating chain, emphasizes and reinforces professionalism, and supports the specialty focus of Officer Personnel Management System processes. The DA Form 67–10 series consists of the following:

(1) DA Form 67–10–1 (Company Grade Plate (O1–O3; WO1 – CW2) Officer Evaluation Report) for 2LT through CPT and WO1 through CW2.

(2) DA Form 67–10–2 (Field Grade Plate (O4–O5; CW3–CW5) Officer Evaluation Report) for major (MAJ) through lieutenant colonel (LTC) and chief warrant officer three (CW3) through chief warrant officer five (CW5).

(3) DA Form 67–10–3 (Strategic Grade Plate (O6) Officer Evaluation Report) for colonel (COL).

(4) DA Form 67–10–4 (Strategic Grade Plate General Officer Evaluation Report) for brigadier general (BG) and only USAR major generals (MG).

Note: Ensure the appropriate DA Form 67–10 series is selected and utilized for when rated Soldiers are eligible use of the “P” identifier in part I, block of the officer evaluation report (see AR 623–3).

b. Process. OER completion requires rating officials to make a conscientious assessment of a rated officer’s performance in his or her assigned position and his or her potential for increased responsibility and service in positions of higher ranks.

Note: The Armywide standard is to complete all portions of the OER using the Form Wizard application with the electronic form located within the EES, enter CAC-enabled digital signatures, and digitally submit the completed OER to HQDA via the Evaluation Entry System. The electronic Form Wizard application allows the rater to automatically enter administrative data in part I of the OER based on the most current data from the authoritative database at HQDA. (See AR 623–3 for submission procedures and app B for addresses and contact information for manual submission of completed OERs and associated documents. Information related to OERs on U.S. Army Reserve (USAR) and Army National Guard (ARNG) officers can be found in this pamphlet and in AR 623–3.)

c. Samples. See figures 2–2 through 2–5 for samples of OERs.

HQDA#

COMPANY GRADE PLATE (O1 - O3; WO1 - CW2) OFFICER EVALUATION REPORT

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 (Rated Officer)

a. NAME (Last, First, Middle Initial) DOE, JOHN		b. SSN (or DOD ID No.) 000000000	c. RANK ILT	d. DATE OF RANK (YYYYMMDD) 20130901	e. BRANCH EN	f. COMPONENT (Status Code)
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND 50th MRBC, 5th EN BN, Ft. Leonard Wood, MO 65473 FORSCOM				h. UIC WBAOAA	i. REASON FOR SUBMISSION 02 Annual	
j. PERIOD COVERED FROM (YYYYMMDD) 20140401 THRU (YYYYMMDD) 20150331		k. RATED MONTHS 12	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil) john.doe18671@mail.mil	

PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)

a1. NAME OF RATER (Last, First, Middle Initial) SMITH, JOHN		a2. SSN (or DOD ID No.) 111111111	a3. RANK CPT	a4. POSITION Company Commander		
a5. EMAIL ADDRESS (.gov or .mil) john.smith18981@mail.mil		a6. RATER SIGNATURE DIGITAL SIGNATURE 123456789		a7. DATE (YYYYMMDD) YYYYMMDD		
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION		
b5. EMAIL ADDRESS (.gov or .mil)		b6. INTERMEDIATE RATER SIGNATURE		b7. DATE (YYYYMMDD)		
c1. NAME OF SENIOR RATER (Last, First, Middle Initial) GRANT, JOE		c2. SSN (or DOD ID No.) 222222222	c3. RANK LTC	c4. POSITION Battalion Commander		
c5. SENIOR RATER'S ORGANIZATION 5th Engineer Battalion Fort Leonard Wood, Missouri, 65473	c6. BRANCH EN	c7. COMPONENT RA	c9. EMAIL ADDRESS (.gov or .mil) joe.grant188906@mail.mil			
c8. SENIOR RATER PHONE NUMBER 777-888-9999		c10. SENIOR RATER SIGNATURE DIGITAL SIGNATURE 123456789		c11. DATE (YYYYMMDD) YYYYMMDD		
d. This is a referred report, do you wish to make comments? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input checked="" type="checkbox"/> No		e1. RATED OFFICER SIGNATURE DIGITAL SIGNATURE 123456789		e2. DATE (YYYYMMDD) YYYYMMDD		
f1. Supplementary Review Required? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		f2. NAME OF REVIEWER (Last, First, Middle Initial)				
f3. RANK	f4. POSITION		f5. Comments Enclosed			
f6. SUPPLEMENTARY REVIEWER SIGNATURE		f7. DATE (YYYYMMDD)	g. MSAF Date (YYYYMMDD) 20140601			

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE Executive Officer	b. POSITION AOC/BRANCH 12A00
--	---------------------------------

c. SIGNIFICANT DUTIES AND RESPONSIBILITIES

(See DA Pam 623-3, para 2-5)

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)

a. APFT Pass/Fail/Profile: _____ Date: _____ Height: _____ Weight: _____ Within Standard? _____
 Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards?
 (See DA Pam 623-3, para 2-6)

b. This Officer's overall Performance is Rated as: (Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.)

I currently rate _____ Army Officers in this grade.
 A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: Yes No (explain in comments below)

EXCELS (49%) PROFICIENT CAPABLE UNSATISFACTORY

Comments:

(See DA Pam 623-3, para 2-6)

Figure 2-2. Example of DA Form 67-10-1 (page 1)

HQDA#:		NAME: DOE, JOHN		SSN (or DOD ID No.) 000000000	PERIOD COVERED: FROM (YYYYMMDD) 20140401	THRU (YYYYMMDD) 20150331
c. 1) Character: <i>(Adherence to Army Values, Empathy, and Warrior Ethos/ Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)</i>	(See DA Pam 623-3, para 2-6)					
c. 2) Presence: <i>(Military and Professional Bearing, Fitness, Confident, Resilient)</i>	(See DA Pam 623-3, para 2-6)					
c. 3) Intellect: <i>(Mental Agility, Sound Judgment, Innovation, Interpersonal Tact, Expertise)</i>	(See DA Pam 623-3, para 2-6)					
c. 4) Leads: <i>(Leads Others, Builds Trust, Extends Influence beyond the Chain of Command, Leads by Example, Communicates)</i>	(See DA Pam 623-3, para 2-6)					
c. 5) Develops: <i>(Creates a positive command/ workplace environment/Fosters Esprit de Corps, Prepares Self, Develops Others, Stewards the Profession)</i>	(See DA Pam 623-3, para 2-6)					
c. 6) Achieves: <i>(Gets Results)</i>	(See DA Pam 623-3, para 2-6)					
PART V - INTERMEDIATE RATER						
(See DA Pam 623-3, para 2-7)						
PART VI - SENIOR RATER						
a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)			b. I currently senior rate _____ Army Officers in this grade.			
<input type="checkbox"/> MOST QUALIFIED <i>(limited to 49%)</i> <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED			c. COMMENTS ON POTENTIAL: (See DA Pam 623-3, para 2-8)			
			d. List 3 future SUCCESSIVE assignments for which this Officer is best suited: (See DA Pam 623-3, para 2-8)			
DA FORM 67-10-1, NOV 2015						
						Page 2 of 2 APD LC v1.00ES

Figure 2-2. Example of DA Form 67-10-1-Continued (page 2)

HQDA#		FIELD GRADE PLATE (O4 - O5; CW3 - CW5) OFFICER EVALUATION REPORT				<i>See Privacy Act Statement in AR 623-3.</i>	
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.							
PART I - ADMINISTRATIVE (Rated Officer)							
a. NAME (Last, First, Middle Initial)		b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (Status Code)	
DOE, JOHN		00000000	MAJ	20130701	AG		
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND				h. UIC		i. REASON FOR SUBMISSION	
HHC, 5th EN BN, Fort Leonard Wood, MO 65473 FORSCOM				WBAOAA		03 Change of Rater	
j. PERIOD COVERED		k. RATED MONTHS	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)		
FROM (YYYYMMDD)	THRU (YYYYMMDD)	4			john.doe18980.mil@mail.mil		
20140401	20140801						
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)							
a1. NAME OF RATER (Last, First, Middle Initial)		a2. SSN (or DOD ID No.)	a3. RANK	a4. POSITION			
SMITH, JOHN		11111111	MAJ	Brigade Executive Officer			
a5. EMAIL ADDRESS (.gov or .mil)		a6. RATER SIGNATURE			a7. DATE (YYYYMMDD)		
john.smith187890.mil@mail.mil		DIGITAL SIGNATURE 123456789			YYYYMMDD		
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION			
b5. EMAIL ADDRESS (.gov or .mil)		b6. INTERMEDIATE RATER SIGNATURE			b7. DATE (YYYYMMDD)		
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)		c2. SSN (or DOD ID No.)	c3. RANK	c4. POSITION			
GRANT, JOE		22222222	COL	Brigade Commander			
c5. SENIOR RATER'S ORGANIZATION		c6. BRANCH	c7. COMPONENT	c9. EMAIL ADDRESS (.gov or .mil)			
4th Maneuver Enhanced BDE, Fort Leonard Wood, Missouri, 65473		EN	RA	joe.grant7789.mil@mail.mil			
		c8. SENIOR RATER PHONE NUMBER		c10. SENIOR RATER SIGNATURE		c11. DATE (YYYYMMDD)	
		777-888-9999		DIGITAL SIGNATURE 123456789		YYYYMMDD	
d. This is a referred report, do you wish to make comments?		e1. RATED OFFICER SIGNATURE			e2. DATE (YYYYMMDD)		
<input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input checked="" type="checkbox"/> No		DIGITAL SIGNATURE 123456789			YYYYMMDD		
f1. Supplementary Review Required?		f2. NAME OF REVIEWER (Last, First, Middle Initial)					
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No							
f3. RANK		f4. POSITION		f5. Comments Enclosed			
f6. SUPPLEMENTARY REVIEWER SIGNATURE		f7. DATE (YYYYMMDD)	g. MSAF Date (YYYYMMDD)				
			20140601				
PART III - DUTY DESCRIPTION							
a. PRINCIPAL DUTY TITLE				b. POSITION AOC/BRANCH			
Brigade S-1				42A00			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES							
(See DA Pam 623-3, para 2-11)							
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)							
a. APFT Pass/Fail/Profile: _____ Date: _____ Height: _____ Weight: _____ Within Standard? _____							
Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards?							
(See DA Pam 623-3, para 2-12)							
b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING BROADENING ASSIGNMENTS							
(See DA Pam 623-3, para 2-12)							
c. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING OPERATIONAL ASSIGNMENTS							
(See DA Pam 623-3, para 2-12)							
d1. Character: (Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)		(See DA Pam 623-3, para 2-12)					

DA FORM 67-10-2, NOV 2015

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Figure 2-3. Example of DA Form 67-10-2 (page 1)

HQDA#		NAME DOE, JOHN		SSN (or DOD ID No.) 000000000	PERIOD COVERED: FROM (YYYYMMDD) 20140401	THRU (YYYYMMDD) 20140801
<p>d2. Provide narrative comments which demonstrate performance regarding field grade competencies and attributes in the Rated Officer's current duty position. (i.e. demonstrates excellent presence, confidence and resilience in expected duties and unexpected situation, adjusts to external influence on the mission or taskings and organization, prioritizes limited resources to accomplish mission, proactive in developing others through individual coaching counseling and mentoring, active learner to master organizational level knowledge, critical thinking and visioning skills, anticipates and provides for subordinates on-the-job needs for training and development, effective communicator across echelons and outside the Army chain of command, effective at engaging others, presenting information and recommendations and persuasion, highly proficient at critical thinking, judgment and innovation, proficient in utilizing Army design method and other to solve complex problems, uses all influence techniques to empower others; proactive in gaining trust in negotiations, remains respectful, firm and fair. Fully supports SHARP and creates a positive command/workplace environment.)</p>						
<p>COMMENTS:</p> <p>(See DA Pam 623-3, para 2-12)</p>						
<p>e. This Officer's overall Performance is Rated as: (Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.)</p> <p>I currently rate _____ Army Officers in this grade.</p> <p>A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: <input type="checkbox"/> Yes <input type="checkbox"/> No (explain in comments below)</p> <p>EXCELS (49%) <input type="checkbox"/> PROFICIENT <input type="checkbox"/> CAPABLE <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/></p> <p>Comments:</p> <p>(See DA Pam 623-3, para 2-12)</p>						
PART V - INTERMEDIATE RATER						
<p>(See DA Pam 623-3, para 2-13)</p>						
PART VI - SENIOR RATER						
<p>a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)</p> <p><input type="checkbox"/> MOST QUALIFIED (limited to 49%)</p> <p><input type="checkbox"/> HIGHLY QUALIFIED</p> <p><input type="checkbox"/> QUALIFIED</p> <p><input type="checkbox"/> NOT QUALIFIED</p>			<p>b. I currently senior rate _____ Army Officers in this grade.</p> <p>c. COMMENTS ON POTENTIAL:</p> <p>(See DA Pam 623-3, para 2-14)</p>			
			<p>d. List 3 future SUCCESSIVE assignments for which this Officer is best suited:</p> <p>(See DA Pam 623-3, para 2-14)</p>			
DA FORM 67-10-2, NOV 2015					Page 2 of 2 APD LC v1.00ES	

Figure 2-3. Example of DA Form 67-10-2-Continued (page 2)

HQDA#		STRATEGIC GRADE PLATE (O6) OFFICER EVALUATION REPORT				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 (Rated Officer)							
a. NAME (Last, First, Middle Initial)		b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (Status Code)	
GRANT, JOE		222222222	COL	20130301	IN		
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND				h. UIC		i. REASON FOR SUBMISSION	
HQDA, OACSIM PENTAGON, WASHINGTON, DC 20310				W089AA		04 Change of Duty	
j. PERIOD COVERED		k. RATED MONTHS	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)		
FROM (YYYYMMDD)	THRU (YYYYMMDD)	4	I, Q		joe.grant7789.mil@mail.mil		
20140401	20141001						
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)							
a1. NAME OF RATER (Last, First, Middle Initial)		a2. SSN (or DOD ID No.)	a3. RANK	a4. POSITION			
SMITH, JOHN		111111111	LTG	ACSIM			
a5. EMAIL ADDRESS (.gov or .mil)		a6. RATER SIGNATURE			a7. DATE (YYYYMMDD)		
john.smith18987.mil@mail.mil		DIGITAL SIGNATURE 123456789			YYYYMMDD		
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION			
b5. EMAIL ADDRESS (.gov or .mil)		b6. INTERMEDIATE RATER SIGNATURE			b7. DATE (YYYYMMDD)		
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)		c2. SSN (or DOD ID No.)	c3. RANK	c4. POSITION			
SMITH, JOHN		111111111	LTG	ACSIM			
c5. SENIOR RATER'S ORGANIZATION	c6. BRANCH	c7. COMPONENT	c9. EMAIL ADDRESS (.gov or .mil)				
HQDA, ACoS Installation Management, 600 Army Pentagon, Washington, DC 20310	GO	RA	john.smith18987@mail.mil				
c8. SENIOR RATER PHONE NUMBER		c10. SENIOR RATER SIGNATURE			c11. DATE (YYYYMMDD)		
999 999 9999		DIGITAL SIGNATURE 123456789			YYYYMMDD		
d. This is a referred report, do you wish to make comments?		e1. RATED OFFICER SIGNATURE			e2. DATE (YYYYMMDD)		
<input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input checked="" type="checkbox"/> No		DIGITAL SIGNATURE 123456789			YYYYMMDD		
f1. Supplementary Review Required?		f2. NAME OF REVIEWER (Last, First, Middle Initial)					
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No							
f3. RANK		f4. POSITION	f5. Comments Enclosed				
f6. SUPPLEMENTARY REVIEWER SIGNATURE		f7. DATE (YYYYMMDD)	g. MSAF Date (YYYYMMDD)				
			20140430				
PART III - DUTY DESCRIPTION							
a. PRINCIPAL DUTY TITLE				b. POSITION AOC/BRANCH			
Executive Officer				01A00			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES							
(See DA Pam 623-3, para 2-17)							
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)							
a. APFT Pass/Fail/Profile:		Date:	Height:	Weight:	Within Standard?		
Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards?							
(See DA Pam 623-3, para 2-18)							
b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING STRATEGIC ASSIGNMENTS							
(See DA Pam 623-3, para 2-18)							
c1. Character:		(See DA Pam 623-3, para 2-18)					
(Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)							

DA FORM 67-10-3, NOV 2015

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Figure 2-4. Example of DA Form 67-10-3 (page 1)

HQDA#			
NAME GRANT, JOE	SSN (or DOD ID No.) 22222222	PERIOD COVERED: FROM (YYYYMMDD) 20140401	THRU (YYYYMMDD) 20141001
<p>c2. Provide narrative comments which demonstrate performance and potential regarding strategic competencies in the Rated Officer's current duty position. (i.e. providing vision, motivation, and inspiration, negotiating within and beyond national boundaries, building strategic consensus, leading and inspiring change, dealing with uncertainty and ambiguity, creates a positive environment to prepare for the future, expanding knowledge in cultural and geopolitical areas, self-awareness and recognition of impact on others, building team skills and processes, allocating the right resources, capitalizing on unified action partner assets, capitalizing on technology, accomplishes missions consistently and ethically. Fully supports SHARP and creates a positive command/workplace environment.)</p> <p style="text-align: right;">A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review <input type="checkbox"/> YES <input type="checkbox"/> NO (explain)</p>			
COMMENTS ON PERFORMANCE:			
(See DA Pam 623-3, para 2-18)			
COMMENTS ON POTENTIAL:			
(See DA Pam 623-3, para 2-18)			
PART V - INTERMEDIATE RATER			
(See DA Pam 623-3, para 2-19)			
PART VI - SENIOR RATER			
<p>a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)</p> <p><input type="checkbox"/> MULTI-STAR POTENTIAL (limited to 24%)</p> <p><input type="checkbox"/> PROMOTE TO BG (25% to 49%)</p> <p><input type="checkbox"/> RETAIN AS COLONEL</p> <p><input type="checkbox"/> UNSATISFACTORY</p> <p>Note: Combined cumulative percentages of both "MULTI-STAR POTENTIAL" and "PROMOTE TO BG" must be less than 50%.</p>		<p>b. I currently senior rate _____ Army Officers in this grade.</p> <p>c. COMMENTS ON POTENTIAL:</p> <p>(See DA Pam 623-3, para 2-20)</p>	
		<p>d. List 3 future SUCCESSIVE assignments for which this Officer is best suited:</p> <p>(See DA Pam 623-3, para 2-20)</p>	
DA FORM 67-10-3, NOV 2015		Page 2 of 2 APD LC v1.00ES	

Figure 2-4. Example of DA Form 67-10-3-Continued (page 2)

HQDA#

STRATEGIC GRADE PLATE GENERAL OFFICER EVALUATION REPORT
 For use of this form, see AR 623-3; the proponent agency is DCS, G-1.

See Privacy Act Statement in AR 623-3.

PART I - ADMINISTRATIVE (Rated Officer)

a. NAME (Last, First, Middle Initial) SMITH, JOHN		b. SSN (or DOD ID No.) 111111111	c. RANK BG	d. DATE OF RANK (YYYYMMDD) 20121201	e. BRANCH GO	f. COMPONENT (Status Code)
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND Installation Management Command, Ft. Sam Houston, TX 78234 IMCOM				h. UIC W6BDAA	i. REASON FOR SUBMISSION 03 Change of Rater	
j. PERIOD COVERED		k. RATED MONTHS	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)	
FROM (YYYYMMDD) 20140401	THRU (YYYYMMDD) 20141201	7			john.smith18987.mil@mail.mil	

PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)

a1. NAME OF RATER (Last, First, Middle Initial) GRANT, JOE		a2. SSN (or DOD ID No.) 222222222	a3. RANK LTG	a4. POSITION CG, IMCOM		
a5. EMAIL ADDRESS (.gov or .mil) joe.grant7789.mil@mail.mil		a6. RATER SIGNATURE DIGITAL SIGNATURE 123456789			a7. DATE (YYYYMMDD) YYYYMMDD	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) GRANT, JOE		b2. SSN (or DOD ID No.) 222222222	b3. RANK LTG	b4. POSITION CG, IMCOM		
b5. SENIOR RATER'S ORGANIZATION Installation Management Command 600 Army Pentagon Drive, Washington DC 20310	b6. BRANCH GO	b7. COMPONENT RA	b9. EMAIL ADDRESS (.gov or .mil) joe.grant7789.mil@mail.mil		b11. DATE (YYYYMMDD) YYYYMMDD	
b8. SENIOR RATER PHONE NUMBER 999 999 9999		b10. SENIOR RATER SIGNATURE DIGITAL SIGNATURE 123456789			b11. DATE (YYYYMMDD) YYYYMMDD	
c. This is a referred report, do you wish to make comments? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No		d1. RATED OFFICER SIGNATURE DIGITAL SIGNATURE 123456789			d2. DATE (YYYYMMDD) YYYYMMDD	

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE G8/Director of Resource Management	b. POSITION AOC/BRANCH GO/BC36 (FIN MG)
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES (See DA Pam 623-3, para 2-23)	

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)

a. APFT Pass/Fail/Profile: _____ Date: _____ Height: _____ Weight: _____ Within Standard? _____
 Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards?
 (See DA Pam 623-3, para 2-24)

b. COMMENTS ON CHARACTER & POTENTIAL:
 (See DA Pam 623-3, para 2-24)

PART V - SENIOR RATER EVALUATION

COMMENTS ON CHARACTER & POTENTIAL:
 (See DA Pam 623-3, para 2-25)

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Figure 2-5. Example of DA Form 67-10-4

Section III

DA Form 67-10-1 (Company Grade Plate O1 through O3 and WO1 through CW2)

2-3. Part I, administrative data

Part I is for administrative data, including identification of the rated officer, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of the DA Form 67-10-1. See table 2-24 for a list of codes and reasons for submitting OERs and table 2-25 for the codes and reasons for nonrated periods.

Table 2-1

Administrative data for DA Form 67-10-1

DA Form 67-10-1, part I: block a—Name

Action required: Enter the rated officer's full name (last, first, middle initial (MI), suffix)—All capital letters.

Reference: None

DA Form 67-10-1, part I: block b—SSN (or DOD ID No.)

Action required: Enter the rated officer's full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).

Reference: None

DA Form 67-10-1, part I: block c—Rank

Action required: Enter the rated officer's three-letter rank abbreviation, not pay grade (for example, "CPT" for captain or "1LT" for first lieutenant) as of the "THRU" date of the DA Form 67-10-1.

- If the rated officer has been selected for promotion and is serving in a position authorized for the next higher rank, he or she will be rated in the promotable rank and a "P" will be placed after his or her current rank (for example, "1LTP").
- If the rated officer is not assigned to a position authorized for the higher rank, no "P" will be entered after the rank.
- If the rated officer has been frocked to the next higher rank and is serving in a position authorized for the rank to which he or she is frocked, enter the frocked rank.
- If the rated officer has been frocked to a higher rank but is not yet serving in a position authorized for the higher rank, enter the lower rank.
Note: For ARNG officers, promotions and/or promotable status' dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists(see AR 623-3.)

Reference: AR 600-20

DA Form 67-10-1, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated officer's rank as of the "THRU" date of the DA Form 67-10-1. If the officer is promotable but not yet promoted, the date of rank is for the current rank. If the rated officer has been frocked to a higher rank and is serving in an authorized position at the frocked rank, enter the effective date of the frocking. If the rated officer has been frocked to a higher rank and is not yet serving in an authorized position requiring the higher rank, enter the date of rank of the lower rank.

Reference: None

DA Form 67-10-1, part I: block e—Branch

Action required: Enter the rated officer's two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."

Reference: DA Pam 600-3

DA Form 67-10-1, part I: block f—COMP Status Code

Action required: For USAR or ARNG, enter component status code as follows:

IRR—individual ready reserve (or IRR-MOB for mobilized IRR Soldier).
IMA—individual mobilization augmentee (or IMA-MOB for mobilized IMA Soldiers).
DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
TPU—troop program unit.
ADOS—active duty for operational support.
AGR—active guard reserve.
MOB—mobilized Soldier.
CO-ADOS—contingency operations-active duty for operational support.
ADOS-RC—active duty for operational support-Reserve Component.
M-DAY—man-day ARNG traditional Soldiers.

Reference: None

Table 2–1
Administrative data for DA Form 67–10–1—Continued

DA Form 67–10–1, part I: block g—Unit, Org., Station, ZIP Code or APO, Major Command

Action required: Enter the rated officer's unit, organization, station, zip code, or Army Post Office (APO), and Major Command in the order listed on the DA Form 67-10-1.

Note. The Wizard application within the EES may not automatically enter deployed unit data; however, it may be changed manually on the DA Form 67-10-1. The USAR must include the appropriate major USAR command or USAR general officer command. On DA Form 67-10-1s for U.S. Army Medical Department (AMEDD) officers assigned or attached to the Army Medical Department Professional Management Command (APMC) who do not complete annual training (AT) or extended combat training (ECT), use the APMC address with "AR–MEDCOM" (see glossary for definition) as the major command.

Reference: None

DA Form 67–10–1, part I: block h—UIC

Action required: Enter the rated officer's unit identification code (UIC).

Note. This code can be automatically populated by using the Wizard application within the electronic form within the EES, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 67–10–1, part I: block i—Reason for Submission

Action required: Enter the appropriate code and reason that identify why the DA Form 67-10-1 is being prepared for submission.

Note. On DA Form 67-10-1s for AMEDD officers attached to the APMC who do not complete AT or ECT, use code 19 "AHRC–Directed."

Reference: Table 2–24

DA Form 67–10–1, part I: block j—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last OER to the date of the event causing the DA Form 67-10-1 to be written. The rating period is that portion of the period covered during which the rated officer serves in an assigned position under the rater who is writing the DA Form 67-10-1. The period covered and the rating period will always end on the same date (the "THRU" date of the DA Form 67-10-1). The beginning date of the rating period may not be the same as the beginning date of the period covered (the "FROM" date). For example, an officer departs on permanent change of station (PCS) on 1 July and is given a "Change of Rater" evaluation report with a "THRU" date of 30 June. After 5 days of in-transit travel and 20 days of leave, the officer reports for duty at his or her new unit on 26 July. Then, on 1 November, the officer changes duty (but the rater remains the same) and is given a "Change of Duty" evaluation report. The period covered on this DA Form 67-10-1 would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" DA Form 67-10-1s will be the day before the change takes effect. Likewise, for rated officers signing out on transition leave, the "THRU" date will be the rated officer's final duty day in the assigned duty position before transition leave begins. Use the YYYYMMDD format for "FROM" and "THRU" dates. On DA Form 67-10-1s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the "THRU" date will be based on the rated officer's retired year end (RYE) date for code 19 "AHRC–Directed" DA Form 67-10-1s.

Reference: None

DA Form 67–10–1, part I: block k—Rated Months

Action required: Compute the number of rated months by counting the total number of calendar days in the rating period and dividing it by 30.

Note. Do not use the number of days in the entire period covered by the DA Form 67-10-1. The rated months equal the period covered minus all nonrated time. After dividing by 30, if there are 15 or more days left, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 67–10–1, part I: block l—Nonrated Codes

Action required: Enter the appropriate nonrated codes. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block k are not required for ARNG officers not on active duty.

Reference: Table 2–25

DA Form 67–10–1, part I: block m—Number of Enclosures

Action required: Indicate the total number of enclosures. If there are no enclosures, enter "0" or leave blank.

Reference: None

DA Form 67–10–1, part I: block n—Rated Officer's Email Address

Action required: Enter the rated officer's .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

2–4. Part II, authentication

This part of the form is for authentication by the rated officer and rating officials after the DA Form 67–10–1 has been completed at the end of the rating period. To facilitate the rated officer in signing the DA Form 67–10–1 after

authentication by the rating officials, the DA Form 67–10–1 can be signed and dated by each individual in the rating chain up to 14 days prior to the “THRU” date; however, the DA Form 67–10–1 cannot be forwarded to HQDA until the “THRU” date of the DA Form 67–10–1.

Rating officials’ names can be automatically entered by using SSNs and the first two letters of the last name in the Wizard application within the EES. The following rules apply:

- a. The senior rater’s signature and date cannot be before the rater’s or intermediate rater’s signatures.
- b. The rated officer’s signature and date cannot be before the rater’s, the intermediate rater’s, or the senior rater’s signatures.

Table 2–2
Authentication for DA Form 67–10–1

DA Form 67–10–1, part II: blocks a (1 through 7)—Rater’s Information

Action required: Enter the rater’s information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123–45–6789) /rank/position/ signature/email/validation date.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-1. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-1, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Note. The rater’s signature and date are required on the completed DA Form 67-10-1.

- For raters of other Services, enter appropriate rank abbreviation. For example, a Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (general manager (GM), general government (GG), general schedule (GS), and/or universally administrative (UA) #) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For allied forces officers serving as a rater, enter the rater’s country or country abbreviation in parentheses after their name (for example, (AU), (Italy), and (GBR)). Allied forces raters of U.S. Army officers will require an international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for an international rater identification number will be submitted to HRC, Evaluations branch (see app B for contact information and address). The request will include: justification, allied forces officer’s complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.

Note: Allied forces rating officials may not have the ability to sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of the reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.

- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in parts II, blocks a and c.

Note. On DA Form 67-10-1s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will serve as rater and senior rater with no other rating officials and will sign the DA Form 67-10-1 in part II, both blocks a and c (as a senior rater who does not meet eligibility requirements to evaluate the rated officer) for code 19 “AHRC–Directed” DA Form 67-10-1s.

Reference: None

DA Form 67–10–1, part II: blocks b (1 through 7)—Intermediate Rater’s Information

Action required: Enter the intermediate rater’s information - name (last, first, MI, suffix) in capital letters, SSN (Optional) (for example, 123–45–6789) rank, position, signature, email, validation date.

- As an alternative to providing an optional SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).The rank entry will be current as of the “THRU” date of the DA Form 67-10-1. A “P” is added to the rank only if the intermediate rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher grade and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-1, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used.

Note. The intermediate rater’s signature and date are required on the completed DA Form 67-10-1.

- For intermediate raters of other Services enter appropriate rank abbreviation. For example, a Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM, GG,GS, or UA-#) in the rank block; for members of the SES, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or not in any category above, enter appropriate grade level.
- For allied forces rating officials, enter the intermediate rater’s country or country abbreviation in parentheses after the name (for example, (AU), (Italy), and (GBR)). Leave the SSN (DOD ID No.) data blank. Other data remain the same.

Reference: None

Table 2–2
Authentication for DA Form 67–10–1—Continued

DA Form 67–10–1, part II: blocks c (1 through 11)—Senior Rater’s Information

Action required: Enter the senior rater’s information: name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789), rank, position, signature, validation date/organization/branch/component/telephone number/email address. As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-1, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-1. A “P” is added to the rank only if the senior rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP), and/or CFD. For general officers, enter “GO”. The two-character branch entry will not be “GS”.
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the branch block in part II, block c. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the branch block. Civil service raters will enter the pay grade (GM, GG, GS, and/or UA-#) in the rank block; for members of the SES will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter, “DAC” as branch; for civilians of other Services within DOD, enter “CIV” as the branch.
- Component entry will be “RA” for Regular Army, “USAR” for U.S. Army Reserve, “ARNG” for Army National Guard entered for Army components. All others will enter “NONE”.
- The senior rater will sign the DA Form 67-10-1 even if he or she is unable to evaluate the rated officer due to lack of qualification.
Note. Using the Wizard application of the electronic DA Form 67-10-1, senior raters who lack minimum rating qualification will check the “NO” box in response to the question “Have you been the senior rater for this officer for at least 60 days?” to enter the statement “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days” in part VI, block c, leaving all other portions of part VI blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated officer is 90 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers. On DA Form 67-10-1s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will sign the DA Form 67-10-1 in part II, block c as a senior rater who does not meet eligibility requirements to evaluate the rated officer for code 19 “AHRC–Directed” DA Form 67-10-1s.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and c.

Reference: None

DA Form 67–10–1, part II: blocks d—Referred Report

Action required: If referral of an DA Form 67-10-1 is required, the senior rater will place an “X” in the appropriate box in part II, block d of the DA Form 67-10-1 (before he or she has signed and dated the DA Form 67-10-1). The DA Form 67-10-1 will then be provided to the rated officer for placement of an “X” in the appropriate box in part II, block d and signature or validation of administrative data. (“YES” if the rated officer will provide comments as an enclosure to the DA Form 67-10-1 or “NO” if the rated officer will not provide comments).

Reference: None

DA Form 67–10–1, part II: blocks e (1 and 2)—Rated Officer’s Signature and Date

Action required: The rated officer will sign and date the DA Form 67-10-1 after it has been completed and signed by all rating officials in the rating chain. The rated officer’s signature acknowledges that the rated officer has seen the DA Form 67-10-1, parts I through VI, and verifies the accuracy of the administrative data in part I, the rating officials in part II, and the Army Physical Fitness Test (APFT) and height and weight data in part IV, block a. This action increases administrative accuracy of the DA Form 67-10-1 since the rated officer is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated officer based on inaccurate administrative data. Any administrative errors noted by the rated officer will be brought to the attention of the rating officials and corrected prior to their signature.

Note. On DA Form 67-10-1s for APMC-managed AMEDD officers who do not complete AT or ECT, block e will be left blank; these officers will not sign the completed DA Form 67-10-1 prior to submission to HQDA using the EES in accordance with AR 623–3.

- If the rated officer is physically unavailable to sign their DA Form 67-10-1 (DA Form 67-10-1 cannot be forwarded to him or her to sign), is unable to sign the DA Form 67-10-1 digitally or manually, or refuses to sign the DA Form 67-10-1 for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the Wizard application of the electronic DA Form 67-10-1, the senior rater will check the appropriate response to the question “Is the rated officer available for signature?” or the comment “Rated Soldier refused to sign.” The applicable statement will be entered in part VI, block c (“The rated officer was unavailable for signature” and/or “The rated officer refused to sign”).
Note. If the rated officer’s signature is left blank in part II, block e, and the Wizard application of the electronic DA Form 67-10-1 is not used to enter the appropriate statement, the EES may not allow the DA Form 67-10-1 to be submitted. DA Form 67-10-1s stating that the officer cannot sign due to CAC issues will not be processed.
- If the report is adverse or contains derogatory information concerning the rated officer, it must be referred to the rated officer before he or she signs the DA Form 67-10-1.
Note. Using the electronic DA Form 67-10-1 within the EES will allow the senior rater to generate an automated referral memorandum as

Table 2-2
Authentication for DA Form 67-10-1—Continued

a built-in enclosure to the DA Form 67-10-1.

Reference: None

DA Form 67-10-1, part II: blocks f (1 through 7)—Supplementary Review

Action required: : A documented supplementary review, will be performed by a Uniformed Army Advisor above the rating chain, when there are no uniformed Army designated rating officials for the rated Officer, for "Relief for Cause" reports when the senior rater is the individual directing the relief, or if the relief has been directed by an individual other than the rating officials. (see paras 2-29 and 2-30).

- The first U.S. Army officer above the senior rater in the organization or supervision will be designated as the Uniformed Army Advisor and conduct a supplementary review. This officer will be designated by the commander establishing the rating chain and identified in the published rating scheme at the beginning of the evaluation period.
- The senior rater will mark "Yes" or "No" in block f1 to identify if the DA Form 67-10-1 requires a supplementary review.
- If the "Yes" box is marked in part II, block f1, enter the name, rank, and position of the reviewer in blocks f2 through f4. The reviewer may prepare an enclosure to the DA Form 67-10-1. If necessary, the reviewer will comment upon the accuracy or clarity of the completed DA Form 67-10-1.
- If the reviewer determines the OER is accurate and comments are not necessary, the reviewer will indicate so by selecting the "NO" in part II, block f5 and sign in part II, block f6 with no added comments necessary. If the reviewer determines comments are necessary, the reviewer will select "YES" in part II, block f5 of the 67-10 series OER and prepare and attach an enclosure to the OER and sign in part II, block f6.
- 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.
- When required, the supplementary reviewer's signature and date will be annotated on the completed DA Form 67-10-1.

Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.

Note: Using the electronic DA Form 67-10-1 within the EES will allow the supplementary reviewer to generate a memorandum as a built-in enclosure to the DA Form 67-10-1 when required.

Reference: AR 623-3, paragraph 2-8

DA Form 67-10-1, part II: block g—MSAF Date

Action required: Raters will enter the most current completion date for a multi-source assessment and feedback (MSAF) within 36 months preceding the "THRU DATE" in accordance with AR 350-1. If the rated Soldier has not completed a MSAF in accordance with AR 350-1, the entry will be left blank and the rater will provide comment in part IV, block c.6. Rating officials are reminded that the MSAF is a self-assessment tool.

Note. For CSL LTC and COL level commanders, the most recent completed CDR360 assessment date will be entered in lieu of the MSAF date.

Reference: AR 350-1

2-5. Part III, duty description

Part III provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct.

Note: The duty description on the DA Form 67-10-1A can be automatically populated to the DA Form 67-10-1 in the Wizard application associated with the electronic form within the EES.

Table 2-3
Duty description for DA Form 67-10-1

DA Form 67-10-1, part III: block a-Principal Duty Title

Action required: Match principal duty title with unit force structure documents or a principal duty title that describes duties performed; should be the same as the duty title found on the DA Form 4037 (Officer Record Brief) (ORB).

Note. On DA Form 67-10-1s for all AMEDD officers attached or assigned to the APMC, the principal duty title will be "APMC-Managed Officer."

Reference: None

DA Form 67-10-1, part III: block b-Position area of concentration (AOC) Code/Branch

Action required: For commissioned officers, the position area of concentration (AOC)/branch entry will contain, as a minimum, the first five characters of the position requirements code (such as 42B00); seven characters if an additional skill identifier (ASI) is needed; or nine characters if a language identification code is required; should be the same position code as on the DA Form 4037 (ORB).

Reference: None

Table 2-3
Duty description for DA Form 67-10-1—Continued

DA Form 67-10-1, part III: block c—Significant Duties and Responsibilities

Action required: State the officer's significant duties and responsibilities, written in a succinct narrative (not bullet) format, using the present tense to identify what the rated officer is supposed to do or be responsible for in his or her duty position. Unless changes occurred during the rating period, the duty description on the DA Form 67-10-1 should be the same as the one on the DA Form 67-10-1A. The rater will describe in detail the rated officer's duties and responsibilities, the number of personnel supervised, amount of resources under the rated officer's control, and scope of responsibilities. Descriptions must be clear and concise with emphasis on specific functions required of the rated officer. The rater should also note conditions unique to the assignment. For example, RA officers who are assigned to full-time support duties with RC units or USAR officers assigned to RA units often perform unique functions in that duty. In order to ensure that due consideration is given to these factors, the duty description should note these conditions. As a minimum, the duty description will include principal duties and significant additional duties. - When a warrant officer is serving in a commissioned officer position, cite in part III, block c the approval authority from HQDA (see DA Pam 611-21). - When an officer is serving under dual supervision, the statement "Officer serving under dual supervision" will be entered as the first line of the duty description. The supervisors in each chain of command will jointly develop the duty description.

Reference: DA Pam 611-21

2-6. Part IV, performance evaluation-professionalism, attributes, and competencies

Part IV provides an assessment of a rated officer's professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how individuals behave in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are critical attributes that define a leader's character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective Officer Corps. Attributes and core leader competencies are on the DA Form 67-10 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all officers. See table 2-4 for DA Form 67-10-1 attributes and competencies instructions.

Table 2-4
Performance evaluation—professionalism and Army Values for DA Form 67-10-1

DA Form 67-10-1, part IV: block a—APFT

Action required: In the spaces after APFT, the rater will enter "PASS" or "FAIL" and the date (YYYYMMDD) of the most recent record APFT administered by the unit within the 12-month period prior to the "THRU" date of the DA Form 67-10-1; however, the APFT date does not always have to be within the period covered on the DA Form 67-10-1. If the rated officer was unable to take a record APFT (due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

- For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter "PASS" or "FAIL" for the alternate APFT as prescribed by health care personnel. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the Soldier's profile is required.
- For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason why it has been left blank.
- Soldiers with temporary profiles at the time of the unit's record APFT will enter "PROFILE" and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the "THRU" date of the DA Form 67-10-1.
- Sample entries are "PASS 20100414," "FAIL 20100507," or "PROFILE 20100302." APFT numerical scores are not formatted entries and will not be entered for this block.
- The rater will address a "FAIL" entry for APFT in the narrative space provided in part IV, block a. Comments on "FAIL" entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards (AR 350-1).
- A comment on "PROFILE" entries will be made only if the rated officer's ability to perform his or her assigned duties is affected. The rater will explain the absence of an APFT entry in part IV, block a. If the APFT has not been taken within 12 months of the "THRU" date of the DA Form 67-10-1, the APFT data entry will be left blank. In accordance with AR 40-501, an APFT is not required for pregnant officers.
- For pregnant officers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the rater will enter the following statement in part IV, block a: "Exempt from APFT requirement in accordance with AR 40-501."
Note. When using the Wizard application associated with the electronic form within EES, the APFT and height and weight statement will be combined.
- In accordance with AR 350-1, officers 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile unless a current profile exists.

Table 2-4
Performance evaluation—professionalism and Army Values for DA Form 67-10-1—Continued

- Additionally, officers 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600-9. If no APFT is taken, leave the APFT entry blank and make the following comment in part IV, block a addressing the blank APFT entry: “Officer exempt from APFT requirement in accordance with AR 350-1.”
- Officers awaiting Basic Officer Leaders Course (BOLC) or Warrant Officer Basic Course (WOBC) attendance may be given an APFT, but no formal record of the score will be maintained. No APFT entry will be made in part IV, block a on the DA Form 67-10-1, and the rater will explain the absence of the entry within the provided comment field of part IV, block a stating: “Officer exempt from APFT requirement in accordance with AR 350-1.” The height and weight entry and compliance with the body composition standards of AR 600-9 will be entered in part IV, block a of the DA Form 67-10-1.
- Deployed units unable to administer the APFT due to mission or conditions will annotate DA Form 67-10-1s in the provided comment field with the following statement: “Officer was unable to take the APFT during this period due to deployment for combat operations/ contingency operations.” In accordance with AR 350-1, upon return from deployment officers will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG officers.
Note: Officers are not exempted from complying with height and weight requirements of AR 600-9.

Reference: AR 350-1, AR 40-501, and AR 600-9

DA Form 67-10-1, part IV: block a (continued)—Height and Weight

Action required: In the spaces after “HEIGHT and WEIGHT,” the rater will enter the rated officer’s height and weight, respectively, as of the unit’s last record weigh-in. If there is no unit weigh-in during the period covered by the DA Form 67-10-1, the rater will enter the officer’s height and weight as of the “THRU” date of the DA Form 67-10-1. An entry of “YES” or “NO” will also be placed in the space next to the weight to indicate compliance or noncompliance with AR 600-9. Sample entries are “HEIGHT: 72, WEIGHT: 180 YES”; “HEIGHT: 71, WEIGHT: 225 NO”; or “HEIGHT: 73, WEIGHT: 215 YES.”

- For officers 60 years of age and older who must remain in compliance with height and weight standards, the height and weight entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- For an officer who exceeds the screening table weight (AR 600-9), a “YES” entry may only be entered after a body composition measurement has been completed and found to be within body composition standards, as determined by tape measurement and the use of DA Form 5500 (Body Fat Content Worksheet (Male)) or DA Form 5501 (Body Fat Content Worksheet (Female)).
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600-9, in part IV, block a. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO” entry is still required because medical waivers to weight control standards are not permitted for DA Form 67-10-1 purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant officers, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600-9.”
Note. When using the Wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.
- Rating officials will not use the word “pregnant” nor refer to an officer’s pregnancy in any manner when completing the DA Form 67-10-1.
- For rated officers with major limb loss, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600-9”. Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the DA Form 67-10-1.
- For rated officers having an approved Deputy Chief of Staff, G-1 (DCS, G-1) waiver, the entire entry will be left blank. The rater will enter the following statement in part IV, block a “Rated officer has a DCS, G-1 waiver of compliance with AR 600-9.” In such cases, a copy of the DCS, G-1 approval memo will be submitted as an enclosure to the DA Form 67-10-1.
- Compliance with AR 600-9 and the height and weight standards of AR 600-9 apply at all times, even when the officer is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600-9

DA Form 67-10-1, part IV: block b—Overall Performance Assessment

Action required: — The rater makes an assessment of the rated officer’s overall performance when compared with all other officers of the same rank the rater has previously rated or currently has in their population.

- Promotable officers with a “P” after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On “Rater Profile” reports, they will be profiled against the next higher rank.
- This performance is evaluated in terms of the majority of officers in the population. If the performance assessment is consistent with the majority of officers in that grade the rater will place an “X” in the “PROFICIENT” box. If the rated officer’s performance exceeds that of the majority of officers in the rater’s population, the rater will place an “X” in the “EXCELS” box. (The intent is for the rater to use this box to identify the upper third of officers for each rank.) In order to maintain a credible profile, the rater must have less than 50 percent of the ratings of a rank in the “EXCELS” box. Fifty percent or more in the “EXCELS” box will result in a “PROFICIENT” label. If the rated officer’s performance is below the majority of officers in the rater’s population for that grade and the rater believes the rated officer should be further developed, the rater will place an “X” in the “CAPABLE” box. If the rated officer’s performance is below the majority of officers in the rater’s population for that grade and the rater does not believe the rated officer’s performance has met standards required of an Army

Table 2-4

Performance evaluation—professionalism and Army Values for DA Form 67-10-1—Continued

officer, the rater will place an “X” in the “UNSATISFACTORY” box.

Note. A rater's subsequent statement that he or she rendered an inaccurate “PROFICIENT” or lower evaluation of a rated officer's performance in order to preserve an “EXCELS” ratings for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for an appeal.

- To ensure maximum rating flexibility when rating populations change or to preclude an “EXCELS” check from inadvertently profiling as a “PROFICIENT” rating, raters need to maintain a “cushion” in the number of “EXCELS” ratings given rather than impeding the line at less than 50 percent. This is best accomplished by limiting the “EXCELS” box to no more than one-third of all ratings given for officers of a given rank.

Note. In order to maintain a credible profile, the rater must have less than 50 percent of the ratings in the “EXCELS” box for a given rank. A report with an “EXCELS” rating that causes a rater's profile to have 50 percent or more “EXCELS” ratings will be processed with a “PROFICIENT” HQDA electronically generated label; however, it will be charged against the rater's profile as an “EXCELS,” and a documented rater profile misfire will occur.

- To provide raters flexibility when initially establishing a credible “Rater Profile” report, the rater will be given a profile credit of three “PROFICIENT” box checks. This will enable raters first establishing a profile (separated by grade) the ability to use the “EXCELS” box immediately. The rater is required to maintain a credible profile of less than 50 percent of the ratings of a rank in the “EXCELS” box.
- For EES, raters will apply a CAC initial by selecting the “LOCK” button verifying their profile supports the selected assessment. The “LOCK” verification cannot be applied earlier than 14 days of the “THRU” date on the DA Form 67-10-1. DA Form 67-10-1s will receive a HQDA electronically generated label that reflects the rater's profile at the time the report is processed at HQDA.

Note: Once a rater indicates an assessment and the assessment is then “Locked”, it is not able to be changed or altered. Change requests to “Locked” assessments prior to report submission to HRC requires a memorandum request, from the rater's senior rater, to be submitted to Human Resources Command for approval and action.

- The rater will enter the total number of Army officers, of the same rank as the rated officer, they currently rate. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify raters with small rating populations and weigh the report accordingly. The rater will also check the appropriate box concerning receipt of the DA Form 67-10-1A; comments are mandatory in part IV, block b for a “NO” entry.
- Comments are mandatory and should compare the performance of the rated officer with their contemporaries during the evaluation period (see AR 623-3). The focus is on performance results achieved and the manner by which they were achieved.
- If the rater is serving as both rater and senior rater in accordance with AR 623-3, enter the statement “I am serving as both rater and senior rater in accordance with AR 623-3, paragraph 2-19” (or para 2-20, as applicable), in the comment field of part IV, block b. Rating officials serving as both rater and senior rater will not assess the rated officer's performance by selecting the box check in Part IV, block b. Additional instructions applicable to this situation are described below in table 2-6.

Reference: None

DA Form 67-10-1, part IV: blocks c—Attributes and Competencies

Action required: The rater must quantitatively and qualitatively paint a word picture using short, concise, narrative format capturing the rated officer's performance as it relates to the Leadership Requirements Model, which conveys expectations for Army leaders.

—Comments are mandatory and should compare the performance of the rated officer with their contemporaries during the evaluation period (see AR 623-3). This focus is on the results achieved and the manner by which they were achieved. Exception requirements exist for when a rating official is serving as both rater and senior rater in table 2-6.

Reference: None

DA Form 67-10-1, part IV: block c.1—Character – Encompasses elements internal and central to the leader's core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person's moral and ethical qualities, helps determine what is right, and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Action required: Rating officials will comment on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated officer made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated officer to foster a climate of dignity and respect and adhere to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated officer—

1. Committed an act of sexual harassment or sexual assault;
2. Failed to report a sexual harassment or sexual assault;
3. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

Note: additional comments may be explained and entered in part IV, blocks c.1 through c.6 (if required).

Table 2-4
Performance evaluation—professionalism and Army Values for DA Form 67-10-1—Continued

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and DA civilians make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Comments, when provided, will refer to a specific value and be included in the narrative (for example, “A solid, trustworthy officer whose integrity is beyond reproach.”). A list of Army Values and their definitions follow (a more detailed explanation is available in ADRP 6-22).

1. Loyalty: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. Duty: Fulfills obligations (professional, legal, and moral).
3. Respect: Treats people as they should be treated.
4. Selfless service: Puts the welfare of the Nation, the Army, and subordinates' priorities before self.
5. Honor: Adheres to the Army's publicly declared code of values.
6. Integrity: Does what is right, legally and morally.
7. Personal courage: Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person's point of view, to identify with, and enter into another person's feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person's situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier's selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army's heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training, but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one's own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization's key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: None

DA Form 67-10-1, part IV: block c2—Presence – Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader's outward appearance, demeanor, actions, and words. Presence incorporates a leader's effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Reference: None

DA Form 67-10-1, part IV: block c.3—Intellect – Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Expertise: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in

Table 2–4

Performance evaluation—professionalism and Army Values for DA Form 67–10–1—Continued

national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Reference: None

DA Form 67–10–1, part IV: block c.4:—Leads – Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Note: Rating officials may provide additional comments (if needed) evaluating the rated officer on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. At the direct level, a platoon leader knows what a battalion commander wants done, because the lieutenant understands the commander's intent two levels up. The intent creates a critical link between the organizational and direct leadership levels.

Extends influence beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Leads by example: Living by the Army Values and the Warrior Ethos that best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Reference: None

DA Form 67–10–1, part IV: block c.5—Develops – Developing people and the organization with a long-term perspective requires leaders who:

- *Create a positive environment* that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.
- *Seek self-improvement* to master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.
- *Invest adequate time and effort* to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
- *Act as stewards of the profession*, making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.
- The rater will comment on how well the officer promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated officer on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

Reference: None

DA Form 67–10–1, part IV: block c.6—Achieves

—Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This, combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals, allows for accomplishing missions consistently and ethically.

Reference: Army Doctrine Publication (ADP) 6-22, ADRP 6-22

2-7. Part V, intermediate rater (if applicable)

This part of the DA Form 67-10-1 is used only if an intermediate rater is included in the rating chain. Part V is for the intermediate rater's assessment of the rated officer's performance and potential. This is the only part of the DA Form 67-10-1 that is completed by the intermediate rater.

Table 2-5
Intermediate rater for DA Form 67-10-1

DA Form 67-10-1, part V: Intermediate Rater (Only be included for specialty branches (Chaplain Corps, JAGC, and AMEDD)), when there is a level of technical supervision between the rater and senior rater, in dual supervisory situations, and when the rater's immediate supervisor would be the logical senior rater, but does not meet senior rater eligibility requirements as outlined in AR 623-3, table 2-1.)

Action required: Narrative comments by the intermediate rater are mandatory. Comments should succinctly address the rated officer's performance and potential. Comments may address the rated officer's demonstrated professionalism and/or ability to maintain required standards for credentialing or certification, foreign language skills, or high-level security clearances. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph. If the intermediate rater has not been in the position the minimum number of days necessary to evaluate the rated officer, he or she will enter the statement "I am unable to evaluate the rated officer because I have not been the intermediate rater for the required number of days." If the intermediate rater performs the functions of the rater, as authorized in AR 623-3, they will complete the rater's parts of the DA Form 67-10-1. In this case, part V will only cite the authority and reasons for assuming the rater's responsibilities.

Reference: None

2-8. Part VI, senior rater

a. Part VI is the senior rater's assessment of the rated officer's potential. Part VI is intended to capitalize on the senior rater's additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated officer's DA Form 67-10-1A is intended to assist the senior rater and supplement more traditional means of evaluation, such, as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated officer, he or she must meet the minimum requirements in AR 623-3.

c. In evaluating the whole officer, the senior rater makes an assessment of the officer's potential for promotion to the next higher grade when compared with other officers. In doing so, a senior rater must carefully manage the percentage of their "MOST QUALIFIED" ratings and must, therefore, be aware of when an officer will be in a zone of consideration for promotion, command, or school selection in order to render "MOST QUALIFIED" ratings accordingly.

Note: A senior rater's subsequent statement that he or she rendered an inaccurate "HIGHLY QUALIFIED" or lower evaluation of a rated officer's potential in order to preserve "MOST QUALIFIED" ratings for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for an appeal.

d. Senior raters who meet minimum qualification criteria established in AR 623-3 will complete part VI, block a. An officer whose rank on an DA Form 67-10-1 is a "P" (a promotable officer serving in an authorized position of the next higher rank) receiving a rating in part VI, block a. will be profiled against the senior rater's profile for the next higher rank. An example is a 1LT(P) serving in an authorized CPT position will be profiled against the senior rater's CPT profile population. If the 1LT(P) is not serving in an authorized CPT position, they will be profiled against the senior rater's 1LT profile population.

Table 2-6
Senior rater for DA Form 67-10-1

DA Form 67-10-1, part VI: block a—Potential Box Check

Action required: — The senior rater makes an assessment of the rated officer's overall potential when compared with all other officers of the same rank the senior rater has previously rated or currently has in his or her population.

- Promotable officers with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On "Senior Rater Profile" reports, they will be profiled against the next higher rank.
- This potential is evaluated in terms of the majority of officers in the population. If the potential assessment is consistent with the majority of officers in that grade the senior rater will place an "X" in the "HIGHLY QUALIFIED" box. If the rated officer's potential exceeds that of the majority of officers in the senior rater's population, the senior rater will place an "X" in the "MOST QUALIFIED" box. (The intent is for the senior rater to use this box to identify the upper third of officers for each rank.) In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings of a rank in the "MOST QUALIFIED" top box. Fifty percent or more in the "MOST QUALIFIED" top box will result in a "HIGHLY QUALIFIED" label. If the rated officer's potential is adequate, but beneath the majority of officers in the senior rater's population for that grade and the senior rater believes the rated officer should be retained for further development, the senior rater will place an "X" in the "QUALIFIED" box. If the rated officer's potential is below the majority of officers in the senior rater's population for that grade and the senior rater does not believe the rated officer should be retained, the senior rater will place an "X" in the "NOT

Table 2–6
Senior rater for DA Form 67–10–1—Continued

QUALIFIED” box.

Note. In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings in the “MOST QUALIFIED” box for a given rank. An DA Form 67-10-1 with a “MOST QUALIFIED” rating that causes a senior rater’s profile to have 50 percent or more “MOST QUALIFIED” ratings will be processed with a “HIGHLY QUALIFIED” HQDA electronically generated label; however, it will be charged against the senior rater’s profile as a “MOST QUALIFIED” DA Form 67-10-1 if it is unresolved, and a documented senior rater profile misfire will occur.

- To ensure maximum rating flexibility when rating populations change or to preclude a “MOST QUALIFIED” top box check from inadvertently profiling as a “HIGHLY QUALIFIED” rating, senior raters need to maintain a “cushion” in the number of “MOST QUALIFIED” ratings given rather than impending to the line at less than 50 percent. This is best accomplished by limiting the “MOST QUALIFIED” top box to no more than one-third of all ratings given for officers of a given rank.
- To provide senior raters flexibility when initially establishing a credible “Senior Rater Profile” report, the first single “MOST QUALIFIED” top box report processed against the senior rater’s profile at that grade will generate a “MOST QUALIFIED” label, regardless of the actual profile. All other reports will receive an HQDA electronically generated label that reflects the senior rater’s profile at the time the report is processed.

Reference: None

DA Form 67–10–1, part VI: block b—Number of Officers Senior Rated

Action required: The senior rater will enter the total number of Army officers of the same rank as the rated officer he or she currently senior rates. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify senior raters with small rating populations and weigh the report accordingly.

Note. Promotable officers with a “P” after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries.

Reference: None

DA Form 67–10–1, part VI: block c—Senior Rater Narrative

Action required: Narrative comments by the senior rater on rated officer’s potential are mandatory. Simply stating concurrence with the rater’s or intermediate rater’s evaluation does not fulfill the intent of this paragraph.

- When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated officer, he or she will enter the following statement in part VI, block c: “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days.” In these cases, all other entries in part VI, blocks a, b, and d will be left blank.
Note. Senior raters will use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement in part VI, block c, if he or she is unable to evaluate the rated officer. On DA Form 67-10-1s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will enter the statement that he or she is unable to evaluate the rated officer, using the Wizard application associated with the electronic form within the EES. All other entries in part VI will be left blank.
- The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated officer’s potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments and level of assignments, and/or retention, when applicable.
- Anything unusual about the DA Form 67-10-1 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated officer’s signature; signatures are out of sequence on the report; changes in an evaluation resulting from rated officer comments; and that multiple referral attempts have been made to the rated officer).
- Senior raters will comment on any substantiated finding, in an Army or Department of Defense investigation or inquiry, that a rated officer: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
Note. If the rated officer is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 67-10-1, for any reason, the senior rater will either resolve the problem or use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement explaining why the rated officer’s signature is left blank in part II, block e1. Otherwise, the EES may not allow the DA Form 67-10-1 to be submitted. An DA Form 67-10-1 stating that the officer cannot sign due to CAC issues is unacceptable and such reports will not be processed. The report will not be delayed because it lacks the rated officer’s signature.
- If the senior rater’s evaluation is based on infrequent observation of the rated officer, this fact should be noted. Senior raters may also comment on the fact the rated officer is in a rating population that includes three officers or fewer. The senior rater may not comment on, or make reference to, actual placement of the box check in part VI, block a, or how the rated officer would be profiled.
- In cases when the senior rater is also serving as the rater, he or she will complete parts IV, blocks a through d1 in the rater’s portion of the DA Form 67-10-2. Part IV, block e “comments” section will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block e “comments” section include “Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19.” (or para 2–20, as appropriate) or “Serving as rater and senior rater in accordance with the CG, HRC exception to policy.” when applicable.) The senior rater will not complete the box check assessment in part IV, block e. The senior rater may add additional comments addressing the performance of the rated officer within part IV, block e “comments section”. Part IV, block d2 is optional. All blocks in part VI will be completed. Promotion potential comments will be entered in part VI, block c. The senior rater will sign

Table 2-6
Senior rater for DA Form 67-10-1—Continued

the DA Form 67-10-2 in both the senior rater's and the rater's signature blocks.

Reference: None

DA Form 67-10-1, part VI: block d—Three Future (Successive) Assignments

Action required: The senior rater will list up to three (with a minimum of two) different successive duty positions (by job title) in which the rated officer is best suited to serve based on the rated officer's demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for DA Form 67-10-1s on which the rater indicates "UNSATISFACTORY" and the senior rater indicates a rating of "NOT QUALIFIED." On these DA Form 67-10-1 only, no successive duty positions are required.

Reference: None

Section IV

DA Form 67-10-2 (Field Grade Plate O4 through O5 and CW3 through CW5)

2-9. Part I, administrative data

Part I is for administrative data, including identification of the rated officer, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of the DA Form 67-10-2. See table 2-24 for a list of codes and reasons for submitting OERs and table 2-25 for the codes and reasons for nonrated periods.

Table 2-7
Administrative data for DA Form 67-10-2

DA Form 67-10-2, part I: block a—Name

Action required: Enter the rated officer's full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 67-10-2, part I: block b—SSN

Action required: Enter the rated officer's full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

Reference: None

DA Form 67-10-2, part I: block c—Rank

Action required: : Enter the rated officer's three-letter rank abbreviation, not pay grade (for example, "MAJ" for major or "CW3" for chief warrant officer three) as of the "THRU" date of the DA Form 67-10-2.

- If the rated officer has been selected for promotion and is serving in a position authorized for the next higher rank, he or she will be rated in the promotable rank and a "P" will be placed after his or her current rank (for example, "CPTP" and "CW3P").
- If the rated officer is not assigned to a position authorized for the higher rank, no "P" will be entered after the rank.
- If the rated officer has been frocked to the next higher rank and is serving in a position authorized for the rank to which he or she is frocked, enter the frocked rank.
- If the rated officer has been frocked to a higher rank but is not yet serving in a position authorized for the higher rank, enter the lower rank.

Note: For ARNG officers, promotions and/or promotable status' dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists. (See AR 623-3 para 2-11).

Reference: AR 600-20

DA Form 67-10-2, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated officer's rank as of the "THRU" date of the DA Form 67-10-2. If the officer is promotable, but not yet promoted, the date of rank is for the current rank. If the rated officer has been frocked to a higher rank and is serving in an authorized position, enter the effective date of the frocking. If the rated officer has been frocked to a higher rank and is not yet serving in an authorized position requiring the higher rank, enter the date of rank of the lower rank.

Reference: None

DA Form 67-10-2, part I: block e—Branch

Action required: Enter the rated officer's two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO."

Reference: DA Pam 600-3

DA Form 67-10-2, part I: block f—COMP Status Code

Action required: For USAR or ARNG, enter status code as follows:

- IRR—individual ready reserve (or IRR-MOB for mobilized IRR Soldier).
- IMA—individual mobilization augmentee (or IMA-MOB for mobilized IMA Soldiers).

Table 2-7
Administrative data for DA Form 67-10-2 —Continued

- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
- TPU—troop program unit.
- ADOS—active duty for operational support.
- AGR—active guard reserve.
- MOB—mobilized Soldier.
- CO-ADOS—contingency operations-active duty for operational support.
- ADOS-RC—active duty for operational support-Reserve Component.
- M-DAY—man-day ARNG traditional Soldiers.

Reference: None

DA Form 67-10-2, part I: block g—Unit, Org., Station, ZIP Code or APO, Major Command

Action required: Enter the rated officer's unit, organization, station, zip code, or APO, and Major Command in the order listed on the DA Form 67-10-2.

Note. The Wizard application within the EES may not automatically enter deployed unit data; however, it may be changed manually on the DA Form 67-10-2. The USAR must include the appropriate major USAR command or USAR general officer command. On DA Form 67-10-2s for AMEDD officers assigned or attached to the APMC who do not complete AT or ECT, use the APMC address with "AR-MEDCOM" as the major command.

—The address should reflect the rated officer's location as of the "THRU" date of the DA Form 67-10-2. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit's address with duty at (abbreviated "w/dy at") the Soldier's deployed unit location.

Reference: None

DA Form 67-10-2, part I: block h—UIC

Action required: Enter the rated officer's UIC.

Note. This code can be automatically populated by within the electronic form in the Evaluation Entry System, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 67-10-2, part I: block i—Reason for Submission

Action required: Enter the appropriate DA Form 67-10-2 code (left block) and reason (right block) that identify why the DA Form 67-10-2 is being prepared for submission.

Note. On DA Form 67-10-2s for AMEDD officers attached to the APMC who do not complete AT or ECT, use code 19 "AHRC-Directed."

Reference: Table 2-24

DA Form 67-10-2, part I: block j—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last evaluation report to the date of the event causing the DA Form 67-10-2 to be written. The rating period is that portion of the period covered during which the rated officer serves in an assigned position under the rater who is writing the DA Form 67-10-2. The period covered and the rating period will always end on the same date (the "THRU" date of the DA Form 67-10-2). The beginning date of the rating period may not be the same as the beginning date of the period covered (the "FROM" date). For example, an officer departs on PCS on 1 July and is given a "Change or Rater" evaluation report with a "THRU" date of 30 June. After 5 days of in-transit travel and 20 days of leave, the officer reports for duty at his or her new unit on 26 July. Then, on 1 November, the officer changes duty (but the rater remains the same) and is given a "Change of Duty" DA Form 67-10-2. The period covered on this DA Form 67-10-2 would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" DA Form 67-10-2s will be the day before the change takes effect. Likewise, for rated officers signing out on transition leave, the "THRU" date will be the rated officer's final duty day in the assigned duty position before transition leave begins. Use the YYYYMMDD format for "FROM" and "THRU" dates. On DA Form 67-10-2s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the "THRU" date will be based on the rated officer's RYE date for code 19 "AHRC-Directed" DA Form 67-10-2s.

Reference: None

DA Form 67-10-2, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the rating period and dividing it by 30.

Note. Do not use the number of days in the entire period covered by the DA Form 67-10-2. The rated months will equal the period covered minus all nonrated time. After dividing by 30, if there are 15 or more days left, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 67-10-2, part I: block l—Nonrated Codes

Action required: Enter the appropriate nonrated codes. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block l are not required for ARNG officers not on active duty.

Reference: Table 2-25

Table 2–7
Administrative data for DA Form 67–10–2 —Continued

DA Form 67–10–2, part I: block m—Number of Enclosures

Action required: Indicate the total number of enclosures. If there are no enclosures, enter “0” or leave blank.

Reference: None

DA Form 67–10–2, part I: block n—Rated Officer’s Email Address

Action required: Enter the rated officer’s .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

2–10. Part II, authentication

This part of the DA Form 67-10-2 is for authentication by the rated officer and rating officials after the DA Form 67-10-2 has been completed at the end of the rating period. To facilitate the rated officer in signing the DA Form 67-10-2 after authentication by the rating officials, the DA Form 67-10-2 can be signed and dated by each individual in the rating chain up to 14 days prior to the “THRU” date of the DA Form 67-10-2; however, the DA Form 67-10-2 cannot be forwarded to HQDA until the “THRU” date of the DA Form 67-10-2.

Rating officials’ names can be automatically entered by using SSNs and the first two characters of the last name in the electronic form within the EES. The following rules apply:

- a. The senior rater’s signature and date cannot be before the rater’s or intermediate rater’s signatures.
 - b. The rated officer’s signature and date cannot be before the rater’s, the intermediate rater’s, or the senior rater’s signatures.
-

Table 2–8
Authentication for the DA Form 67–10–2

DA Form 67–10–2, part II: blocks a (1 through 7)—Rater’s Information

Action required: Enter the rater’s information – name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789), rank, position, signature, email, and validation date.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-2. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-2, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
Note. The rater’s signature and date are required on the completed DA Form 67-10-2.
- For raters of other Services, enter appropriate rank abbreviation. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM, GG, GS, or UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For allied forces officers serving as a rater, enter the rater’s country or country abbreviation in parentheses after his or her name (for example, (AU), (Italy), and (GBR)). Allied forces raters of U.S. Army officers will require a international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for a international rater identification number will be submitted to HRC, Evaluations branch (see app B for contact information and address). The request will include: justification, allied forces officer’s complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC-enabled U.S. Army officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.
Note: Allied forces rating officials may not have the ability to sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and c.
Note. On DA Form 67-10-2s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will serve as rater and senior rater with no other rating officials and will sign the DA Form 67-10-2 in part II, both blocks a and c (as a senior rater who does not meet eligibility requirements to evaluate the rated officer) for code 19 “AHRC–Directed” DA Form 67-10-2s.

Reference: None

Table 2–8

Authentication for the DA Form 67–10–2 —Continued

DA Form 67–10–2, part II: blocks b (1 through 7)—Intermediate Rater’s Information

Action required: Enter the intermediate rater’s information - name (last, first, MI, suffix) in capital letters, SSN (optional) (for example, 123–45–6789), rank, position, signature, email, and validation date

- As an alternative to providing an optional SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-2. A “P” is added to the rank only if the intermediate rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher grade and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-2, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used.
Note. The intermediate rater’s signature and date are required on the completed DA Form 67-10-2.
- For intermediate raters of other Services enter appropriate rank abbreviation. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM, GG, GS, or UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by exception to policy or not in any category above, enter appropriate grade level.
- For allied forces rating officials, leave the SSN blank. Enter the intermediate rater’s country or country abbreviation in parentheses after the name (for example, (AU), (Italy), and (GBR)). Other data remain the same.

Reference: None

DA Form 67–10–2, part II: blocks c (1 through 11)—Senior Rater’s Information

Action required: Enter the senior rater’s information – name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789), rank, position, signature, validation date, organization, branch, component, telephone number, and email address. As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-2, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-2. A “P” is added to the rank only if the senior rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, enter the two-character basic branch abbreviation or VTIP/CFD. For general officers, enter “GO” The two-character branch entry will not be “GS.”
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the branch block in part II, block c. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter “DAC” as branch; for civilians of other Services within DOD, enter “CIV” as the branch.
- Component entry will be “RA” for Regular Army, “USAR” for U.S. Army Reserve, “ARNG” for Army National Guard entered for Army components. All others will enter “NONE”.
- The senior rater will sign the DA Form 67-10-2 even if they are unable to evaluate the rated officer due to lack of qualification.
Note. The senior rater’s signature and date are required on the completed DA Form 67-10-2 even if he or she is unable to evaluate the rated officer due to lack of qualification. Using the electronic form within the EES, senior raters who lack minimum rating qualification will check the “NO” box in response to the question “Have you been the senior rater for this officer for at least 60 days?” to enter the statement “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days” in part VI, block c, leaving all other portions of part VI blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated officer is 90 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers. On DA Form 67-10-2s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will sign the DA Form 67-10-2 in part II, block c as a senior rater who does not meet eligibility requirements to evaluate the rated officer for code 19 “AHRC–Directed” DA Form 67-10-2s.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and c.

Reference: None

DA Form 67–10–2, part II: blocks d—Referred Report

Action required: If referral of a DA Form 67-10-2 is required, the senior rater will place an “X” in the appropriate box in part II, block d of the DA Form 67-10-2 (before they have signed and dated the DA Form 67-10-2). The DA Form 67-10-2 will then be provided to the rated officer for placement of an “X” in the appropriate box in part II, block d, signature and validation of administrative data. (“YES” if the rated officer will provide comments as an enclosure to the DA Form 67-10-2 or “NO” if the rated officer will not provide comments.)

Reference: None

Table 2–8
Authentication for the DA Form 67–10–2 —Continued

DA Form 67–10–2, part II: blocks e—Rated Officer's Signature

Action required: The rated officer will sign and date the DA Form 67-10-2 after it has been completed and signed by all rating officials in the rating chain. The rated officer's signature acknowledges that the rated officer has seen the DA Form 67-10-2, parts I through VI, and verifies the accuracy of the administrative data in part I, the rating officials in part II, and the APFT and height and weight data in part IV, block a. This action increases administrative accuracy of the DA Form 67-10-2 since the rated officer is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated officer based on inaccurate administrative data. Any administrative errors noted by the rated officer will be brought to the attention of the rating officials and corrected prior to their signature.

Note. On DA Form 67-10-2s for APMC-managed AMEDD officers who do not complete AT/ECT, block e will be left blank; these officers will not sign the completed DA Form 67-10-2 prior to submission to HQDA using EES in accordance with AR 623–3.

— If the rated officer is physically unavailable to sign their DA Form 67-10-2 (and the DA Form 67-10-2 cannot be forwarded to them to sign), is unable to sign the DA Form 67-10-2 digitally or manually, or refuses to sign the DA Form 67-10-2 for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the electronic form within the EES, the senior rater will check the appropriate response to the question "Is the rated officer available for signature?" or the comment "Rated Soldier refused to sign." The applicable statement will be entered in part VI, block c ("The rated officer was unavailable for signature" and/or "The rated officer refused to sign").

Note. If the rated officer's signature is left blank in part II, block e, and the electronic form within the EES is not used to enter the appropriate statement, the EES may not allow the DA Form 67-10-2 to be submitted. DA Form 67-10-2s stating that the officer cannot sign due to CAC issues will not be processed.

— If the DA Form 67-10-2 is adverse or contains derogatory information concerning the rated officer, it must be referred to the rated officer before he or she signs the DA Form 67-10-2.

Note. Using the electronic form within the EES will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67-10-2.

Reference: None

DA Form 67–10–2, part II: blocks f1 through f7—Supplementary Review

Action required: A documented supplementary review, will be performed by a Uniformed Army Advisor above the rating chain, when there are no uniformed Army designated rating officials for the rated Officer, for "Relief for Cause" reports when the senior rater is the individual directing the relief, or if the relief has been directed by an individual other than the rating officials. (see paras 2-29 and 2-30).

— The first U.S. Army officer above the senior rater in the organization or supervision will be designated as the Uniformed Army Advisor and conduct a supplementary review. This officer will be designated by the commander establishing the rating chain and identified in the published rating scheme at the beginning of the evaluation period.

— The senior rater will mark "Yes" or "No" in block f1 to identify if the DA Form 67-10-2 requires a supplementary review.

— If the "Yes" box is marked in part II, block f1, enter the name, rank, and position of the reviewer in blocks f2 through f4. The reviewer may prepare an enclosure to the DA Form 67-10-2. If necessary, the reviewer will comment upon the accuracy or clarity of the completed DA Form 67-10-2.

— If the reviewer determines the OER is accurate and comments are not necessary, the reviewer will indicate so by selecting the "NO" in part II, block f5 and sign in part II, block f6 with no added comments necessary. If the reviewer determines comments are necessary, the reviewer will select "YES" in part II, block f5 of the 67–10 series OER and prepare and attach an enclosure to the OER and sign in part II, block f6.

— 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.

— When required, the supplementary reviewer's signature and date will be annotated on the completed DA Form 67-10-2.

Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.

Note. Using the electronic DA Form 67-10-2 within the Evaluation Entry System will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67-10-2.

Reference: AR 623–3, paragraph 2–8

DA Form 67–10–2, part II: block g—MSAF Date

Action required: Raters will enter the most current completion date for a multi-source assessment and feedback (MSAF) within 36 months preceding the "THRU DATE" in accordance with AR 350–1. If the rated Soldier has not completed a MSAF in accordance with AR 350-1, the entry will be left blank and the rater will provide comment in part IV, block c.6. Rating officials are reminded that the MSAF is a self-assessment tool.

Note. For CSL LTC and COL level commanders, the most recent completed CDR360 assessment date will be entered in lieu of the MSAF date.

Reference: AR 350–1

2–11. Part III, duty description

Part III provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct.

Note. The duty description on the DA Form 67–10–1A can be automatically populated to the DA Form 67-10-2 using the electronic form within the Evaluation Entry System.

Table 2–9
Duty description for DA Form 67–10–2

DA Form 67–10–2, part III: block a–Principal Duty Title

Action required: Match principal duty title with unit force structure documents or a principal duty title that describes duties performed; should be the same as the duty title found on the DA Form 4037 (ORB).

Note. On DA Form 67–10–2s for all AMEDD officers attached or assigned to the APMC, the principal duty title will be “APMC–Managed Officer.”

Reference: None

DA Form 67–10–2, part III: block b–Position area of concentration (AOC) Code/Branch

Action required: For commissioned officers, this entry will contain, as a minimum, the first five characters of the position requirements code (such as 42B00); seven characters if an ASI is needed; or nine characters if a language identification code is required; should be the same position code as on the DA Form 4037 (ORB).

Reference: None

DA Form 67–10–2, part III: block c–Significant Duties and Responsibilities

Action required: State the officer’s significant duties and responsibilities, written in a succinct narrative (not bullet) format, using the present tense to identify what the rated officer is supposed to do or be responsible for in their duty position. Unless changes occurred during the rating period, the duty description on the DA Form 67–10–2 should be the same as the one on the DA Form 67–10–1A. The rater will describe in detail the rated officer’s duties and responsibilities, the number of personnel supervised, amount of resources under the rated officer’s control, and scope of responsibilities. Descriptions must be clear and concise with emphasis on specific functions required of the rated officer. The rater should also note conditions unique to the assignment. For example, RA officers who are assigned to full-time support duties with RC units or USAR officers assigned to RA units often perform unique functions in that duty. In order to ensure that due consideration is given to these factors, the duty description should note these conditions. As a minimum, the duty description will include principal duties and significant additional duties.

- When a warrant officer is serving in a commissioned officer position, cite in part III, block c the approval authority from HQDA (see DA Pam 611–21).
- When an officer is serving under dual supervision, the statement “Officer serving under dual supervision” will be entered as the first line of the duty description. The duty description will be jointly developed by the supervisors in each chain of command.

Reference: DA Pam 611–21

2–12. Part IV, Performance evaluation–professionalism, competencies and attributes

Part IV provides an assessment of a rated officer’s professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army’s leadership doctrine that define professionalism for the Army officer. Attributes are characteristics that are an inherent part of an individual’s total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are critical attributes that define a leader’s character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective Officer Corps. Attributes and core leader competencies are on the DA Form 67–10 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all officers. See table 2–10 for OER attributes and competencies instructions.

Table 2–10
Performance evaluation—professionalism and Army Values for the DA Form 67–10–2

DA Form 67–10–2, part IV: block a—APFT

Action required: In the spaces after APFT, the rater will enter “PASS” or “FAIL” and the date (YYYYMMDD) of the most recent record APFT administered by the unit within the 12–month period prior to the “THRU” date of the DA Form 67-10-2; however, the APFT date does not always have to be within the period covered on the DA Form 67-10-2. If the rated officer was unable to take a record APFT (due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2–mile run.

- For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter “PASS” or “FAIL” for the alternate APFT as prescribed by health care personnel. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the Soldier’s profile is required.

Table 2–10
Performance evaluation—professionalism and Army Values for the DA Form 67–10–2 —Continued

- For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason why it has been left blank.
- Soldiers with temporary profiles at the time of the unit's record APFT will enter "PROFILE" and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the "THRU" date of the DA Form 67-10-2.
- Sample entries are "PASS 20100414," "FAIL 20100507," or "PROFILE 20100302." APFT numerical scores will not be entered.
- The rater will address a "FAIL" entry for APFT in the narrative space provided in part IV, block a. Comments on "FAIL" entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards (see AR 350–1).
- A comment on "PROFILE" entries will be made only if the rated officer's ability to perform his or her assigned duties is affected. The rater will explain the absence of an APFT entry in part IV, block a. If the APFT has not been taken within 12 months of the "THRU" date of the DA Form 67-10-2, the APFT data entry will be left blank. In accordance with AR 40–501, an APFT is not required for pregnant officers.
- For pregnant officers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the rater will enter the following statement in part IV, block a: "Exempt from APFT requirement in accordance with AR 40–501."
Note. When using the electronic form within the EES, the APFT and height and weight statement will be combined.
- In accordance with AR 350–1, officers 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile unless a current profile exists.
- Additionally, officers 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600–9. If no APFT is taken, leave the APFT entry blank and make the following comment in part IV, block a addressing the blank APFT entry: "Officer exempt from APFT requirement in accordance with AR 350–1."
- Officers awaiting BOLC or WOBC attendance may be given an APFT, but no formal record of the score will be maintained. No APFT entry will be made in part IV, block a on the DA Form 67-10-2, and the rater will explain the absence of the entry within the provided comment field of part IV, block a stating: "Officer exempt from APFT requirement in accordance with AR 350–1." The height and weight entry and compliance with the body composition standards of AR 600–9 will be entered in part IV, block a of the DA Form 67-10-2.
- Deployed units unable to administer the APFT due to mission or conditions will annotate DA Form 67-10-2s in the provided comment field with the following statement: "Officer was unable to take the APFT during this period due to deployment for combat operations contingency operations". In accordance with AR 350–1, upon return from deployment officers will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG officers.
Note. Officers are not exempted from complying with height and weight requirements of AR 600–9.

Reference: AR 350–1, AR 40–501, and AR 600–9

DA Form 67–10–2, part IV: block a (continued)—Height and Weight

Action required: In the spaces after "HEIGHT" and "WEIGHT" the rater will enter the rated officer's height and weight, respectively, as of the unit's last record weigh-in. If there is no unit weigh-in during the period covered by the DA Form 67-10-2, the rater will enter the officer's height and weight as of the "THRU" date of the DA Form 67-10-2. An entry of "YES" or "NO" will also be placed in the space next to the weight to indicate compliance or noncompliance with AR 600–9. Sample entries are "HEIGHT: 72, WEIGHT: 180 YES"; "HEIGHT: 71, WEIGHT: 225 NO"; or "HEIGHT: 73, WEIGHT: 215 YES."

- For officers 60 years of age and older who must remain in compliance with height and weight standards, the height and weight entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- For an officer who exceeds the screening table weight, a "YES" entry may only be entered after a body composition measurement has been completed and found to be within body composition standards, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a "NO" entry, indicating noncompliance with the standards of AR 600–9 in part IV, block a. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the "NO" entry is still required because medical waivers to weight control standards are not permitted for DA Form 67-10-2 purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant officers, the entire entry is left blank. The rater will enter the following statement in part IV, block a: "Exempt from weight control standards of AR 600–9."
Note. When using the electronic form within the EES, the APFT and height and weight statement will be combined.
- Rating officials will not use the word "pregnant" nor refer to an officer's pregnancy in any manner when completing the DA Form 67-10-2.
- For rated officers with major limb loss, the entire entry is left blank. The rater will enter the following statement in part IV, block a: "Exempt from weight control standards of AR 600-9". Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the DA Form 67-10-2.
- For rated officers having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in part IV, block a "Rated officer has a DCS, G–1 waiver of compliance with AR 600–9." In such cases, a copy of the DCS, G–1 approval memo will be submitted as an enclosure to the DA Form 67-10-2.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the officer is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

Reference: None

Table 2–10

Performance evaluation—professionalism and Army Values for the DA Form 67–10–2 —Continued

DA Form 67–10–2, part IV: block b – Broadening Assignments

Action required: The rater may list up to three different broadening duty positions (by job title) in which the rated officer is best suited to serve based on the rated officer’s demonstrated performance. Broadening assignments are developmental positions that provide exposure to experiences outside the officer’s core branch or FA competencies. Broadening assignments develop a wider range of knowledge and skills, augment understanding of the full spectrum of Army missions, promote practical application of language training or increase cross-cultural exposure, and expand officer awareness of other governmental agencies, units, or environments. Examples are Army Sponsored Fellowships and Scholarships; Multinational and Coalition Trainer; higher-level DA staff positions.

Reference: DA Pam 600–3

DA Form 67–10–2, part IV: block c – Operational Assignments

Action required: The rater may list up to three different operational duty positions (by job title) in which the rated officer is best suited to serve based on the rated officer’s demonstrated performance, focusing on the next 3 to 5 years of service. Operational assignments are essentially any assignment where the rated officer would not be in an institutional training assignment.

Reference: DA Pam 600–3

DA Form 67–10–2, part IV: blocks d—Attributes and Competencies

Action required: The rater must quantitatively and qualitatively paint a word picture using short concise narrative format capturing the rated officer’s performance as it relates to the Leadership Requirements Model, which conveys expectations for Army leaders.

—Comments are mandatory and should compare the performance of the rated officer with their contemporaries during the evaluation period (see AR 623-3). The focus is on the results achieved and the manner by which they are achieved. Exception requirements exist for when a rating official is serving as both rater and senior rater in table 2-12.

Reference: None

DA Form 67–10–2, part IV: block d.1—Character – Encompasses elements internal and central to a leader’s core consisting of Army Values, empathy, Warrior Ethos Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Action required: Rating officials will comment on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated officer made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated officer to foster a climate of dignity and respect and adhere to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated officer—

1. Committed an act of sexual harassment or sexual assault.
2. Failed to report a sexual harassment or sexual assault.
3. Failed to respond to a complaint or report of sexual harassment or sexual assault.
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

Note: additional comments may be explained and entered in part IV, block d.2 (if required).

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and DA civilians make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Comments, when provided, will refer to a specific value and be included in the narrative (for example, “A solid, trustworthy officer whose integrity is beyond reproach.”). A list of Army Values and their definitions follow (a more detailed explanation can be found in ADRP 6-22).

1. Loyalty: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. Duty: Fulfills obligations (professional, legal, and moral).
3. Respect: Treats people as they should be treated.
4. Selfless service: Puts the welfare of the Nation, the Army, and subordinate priorities before self.
5. Honor: Adheres to the Army’s publicly declared code of values.
6. Integrity: Does what is right, legally and morally.
7. Personal courage: Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person’s point of view, to identify with, and enter into another person’s feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person’s situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Table 2–10**Performance evaluation—professionalism and Army Values for the DA Form 67–10–2 —Continued**

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier's selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army's heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one's own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization's key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: None

DA Form 67–10–2, part IV: block d.2—Narrative comments, which demonstrate performance regarding field grade attributes and competencies in the rated officer's current duty position.

The rater must quantitatively and qualitatively paint a word picture using short, concise, narrative format capturing the rated officer's performance as it relates to the Leadership Requirements Model, which convey expectations Army leaders strive to meet. The rater will comment on how well the officer promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated officer on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

Presence: Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader's outward appearance, demeanor, actions, and words. Presence incorporates a leader's effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Intellect: Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities.

Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Expertise: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Leads: Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. Organizational and strategic leaders guide their organizations using indirect means of influence.

Extends influence beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing

Table 2–10
Performance evaluation—professionalism and Army Values for the DA Form 67–10–2 —Continued

personal interest in a follower's well-being, offering praise, and understanding of a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Leads by example: Living by the Army Values and the Warrior Ethos best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Develops: Developing people and the organization with a long-term perspective requires leaders who:

Create a positive environment that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.

Seek self-improvement to master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.

Invest adequate time and effort to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.

Act as stewards of the profession, making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.

Achieves: Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals allows for accomplishing missions consistently and ethically.

Action required: N/A

Reference: ADP 6-22 and ADRP 6-22

DA Form 67–10–2, part IV: block e—Overall Performance Assessment

Action required: The rater makes an assessment of the rated officer's overall performance when compared with all other officers of the same rank the rater has previously rated or currently has in their population.

Note. Promotable officers with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On "Rater Profile" Reports, they will be profiled against the next higher rank. This performance is evaluated in terms of the majority of officers in the population. If the performance assessment is consistent with the majority of officers in that grade the rater will place an "X" in the "PROFICIENT" box. If the rated officer's performance exceeds that of the majority of officers in the rater's population, the rater will place an "X" in the "EXCELS" box. (The intent is for the rater to use this box to identify the upper third of officers for each rank). In order to maintain a credible profile, the rater must have less than 50 percent of the ratings of a rank in the "EXCELS" box. Fifty percent or more in the "EXCELS" box will result in a "PROFICIENT" label. If the rated officer's performance is below the majority of officers in the rater's population for that grade and the rater believes the rated officer should be further developed, the rater will place an "X" in the "CAPABLE" box. If the rated officer's performance is below the majority of officers in the rater's population for that grade and the rater does not believe the rated officer's performance has met standards required of an Army officer, the rater will place an "X" in the "UNSATISFACTORY" box.

Note. A rater's subsequent statement that he or she rendered an inaccurate "PROFICIENT" or lower evaluation of a rated officer's performance in order to preserve an "EXCELS" ratings for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for an appeal.

- To ensure maximum rating flexibility when rating populations change or to preclude an "EXCELS" check from inadvertently profiling as a "PROFICIENT" rating, raters need to maintain a "cushion" in the number of "EXCELS" ratings given rather than impending to the line at less than 50 percent. This is best accomplished by limiting the "EXCELS" box to no more than one-third of all ratings given for officers of a given rank.

Note. In order to maintain a credible profile, the rater must have less than 50 percent of the ratings in the "EXCELS" box for a given rank. A OER with an "EXCELS" rating that causes a rater's profile to have 50 percent or more "EXCELS" ratings will be processed with a "PROFICIENT" HQDA electronically generated label; however, it will be charged against the rater's profile as an "EXCELS", and a documented rater profile misfire will occur.

- To provide raters flexibility when initially establishing a credible "Rater Profile" report, the rater will be given a profile credit of three "PROFICIENT" box checks. This will enable raters first establishing a profile (separated by grade) the ability to use the "EXCELS" box immediately. The rater is required to maintain a credible profile of less than 50 percent of the ratings of a rank in the "EXCELS" box.

Table 2-10
Performance evaluation—professionalism and Army Values for the DA Form 67-10-2 —Continued

- For EES, raters will apply a CAC initial by selecting the “LOCK” button verifying their profile supports the selected assessment. The “LOCK” verification cannot be applied earlier than 14 days of the “THRU” date on the DA Form 67-10-2. DA Form 67-10-2s will receive a HQDA electronically generated label that reflects the rater’s profile at the time the report is processed at HQDA.
Note: Once a rater indicates an assessment and the assessment is then “Locked”, it is not able to be changed or altered. Change requests to “Locked” assessments prior to report submission to HRC requires a memorandum request, from the rater’s senior rater, to be submitted to HRC for approval and action.
- The rater will enter the total number of Army officers of the same rank as the rated officer he or she currently rates. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify raters with small rating populations and weigh the OER report accordingly. The rater will also check the appropriate box concerning receipt of the DA Form 67-10-1A; comments are mandatory in part IV, block e for a “NO” entry.
- Comments are mandatory and should compare the performance of the rated officer with his or her contemporaries (AR 623-3) during the evaluation period. The focus is on performance results achieved and the manner by which they were achieved. Exception requirements exist for when a rating official is serving as both rater and senior rater in table 2-12.
- If the rater is serving as both rater and senior rater in accordance with AR 623-3, enter the statement “I am serving as both rater and senior rater in accordance with AR 623-3, paragraph 2-19” (or para 2-20, as applicable), in the comment field of part IV, block e. Rating officials serving as both rater and senior rater will not assess the rated officer’s performance by selecting the box check in Part IV, block e. An exception exists for part IV, block e box check assessment when serving as rater and senior rater for warrant Officers in the rank of CW4P and CW5. For these ranks only, the box check assessment in part IV, block e will be completed. Additional instructions applicable to this situation are described below in table 2-12.

Reference: None

2-13. Part V, intermediate rater (if applicable)

This part of the DA Form 67-10-2 is used only if an intermediate rater is included in the rating chain. Part V is for the intermediate rater’s assessment of the rated officer’s performance and potential. This is the only part of the DA Form 67-10-2 that is completed by the intermediate rater.

Table 2-11
Intermediate rater for DA Form 67-10-2, part V

DA Form 67-10-2, part V: Intermediate Rater (Only be included for specialty branches (Chaplain Corps, Judge Advocate Corps (JAGC), and AMEDD)), when there is a level of technical supervision between the rater and senior rater, in dual supervisory situations, and when the rater’s immediate supervisor would be the logical senior rater, but does not meet senior rater eligibility requirements as outlined in AR 623-3, table 2-1.)

Action required: Narrative comments by the intermediate rater are mandatory. Comments should succinctly address the rated officer’s performance and potential. Comments may address the rated officer’s demonstrated professionalism and/or ability to maintain required standards for credentialing or certification, foreign language skills, or high-level security clearances. Simply stating concurrence with the rater’s evaluation does not fulfill the intent of this paragraph. If the intermediate rater has not been in the position the minimum number of days necessary to evaluate the rated officer, they will enter the statement “I am unable to evaluate the rated officer because I have not been the intermediate rater for the required number of days.” If the intermediate rater performs the functions of the rater, as authorized in AR 623-3, they will complete the rater’s parts of the DA Form 67-10-2. In this case, part V will only cite the authority and reasons for assuming the rater’s responsibilities.

Reference: None

2-14. Part VI, senior rater

a. Part VI is the senior rater’s assessment of the rated officer’s potential. Part VI is intended to capitalize on the senior rater’s additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated officer’s DA Form 67-10-1A is intended to assist the senior rater and supplement more traditional means of evaluation, such as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated officer, he or she must meet the minimum requirements that are set forth in AR 623-3.

c. In evaluating the whole officer, the senior rater makes an assessment of the officer’s potential for promotion to the next higher grade when compared with other officers. In doing so, a senior rater must carefully manage the percentage of his or her “MOST QUALIFIED” ratings and must, therefore, be aware of when an officer will be in a zone of consideration for promotion, command, or school selection in order to render “MOST QUALIFIED” ratings accordingly.

Note: A senior rater’s subsequent statement that he or she rendered an inaccurate “HIGHLY QUALIFIED” or lower evaluation of a rated officer’s potential in order to preserve “MOST QUALIFIED” ratings for other officers (for

example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for an appeal.

d. Senior raters who meet minimum qualification criteria established in AR 623–3 will complete part VI, block a. An officer whose rank on an DA Form 67–10–2 is a “P” (a promotable officer serving in an authorized position of the next higher rank) receiving a rating in part VI, block a will be profiled against the senior rater’s profile for the next higher rank. For example, a MAJ(P) serving in an authorized LTC position will be profiled against the senior rater’s LTC profile population. If the MAJ(P) is not serving in an authorized LTC position, he or she will be profiled against the senior rater’s MAJ profile population.

Table 2–12
Senior rater for DA Form 67–10–2

DA Form 67–10–2, part V: block a—Potential Box Check

Action required: — The senior rater makes an assessment of the rated officer’s overall potential when compared with all other officers of the same rank the senior rater has previously rated or currently has in his or her population.

Note. Promotable officers with a “P” after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On “Senior Rater Profile” reports, they will be profiled against the next higher rank.

— This potential is evaluated in terms of the majority of officers in the population. If the potential assessment is consistent with the majority of officers in that grade the senior rater will place an “X” in the “HIGHLY QUALIFIED” box. If the rated officer’s potential exceeds that of the majority of officers in the senior rater’s population, the senior rater will place an “X” in the “MOST QUALIFIED” box. (The intent is for the senior rater to use this box to identify the upper third of officers for each rank.) In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings of a rank in the “MOST QUALIFIED” top box. Fifty percent or more in the “MOST QUALIFIED” top box will result in a “HIGHLY QUALIFIED” label. If the rated officer’s potential is adequate, but beneath the majority of officers in the senior rater’s population for that grade and the senior rater believes the rated officer should be retained for further development, the senior rater will place an “X” in the “QUALIFIED” box. If the rated officer’s potential is below the majority of officers in the senior rater’s population for that grade and the senior rater does not believe the rated officer should be retained, the senior rater will place an “X” in the “NOT QUALIFIED” box.

Note. In order to maintain a credible profile, the senior rater must have less than 50 percent of the ratings in the “MOST QUALIFIED” box for a given rank. An DA Form 67-10-2 with a “MOST QUALIFIED” rating that causes a senior rater’s profile to have 50 percent or more “MOST QUALIFIED” ratings will be processed with a “HIGHLY QUALIFIED” HQDA electronically generated label; however, it will be charged against the senior rater’s profile as a “MOST QUALIFIED” DA Form 67-10-2 if it is unresolved, and a documented senior rater profile misfire will occur.

— To ensure maximum rating flexibility when rating populations change or to preclude a “MOST QUALIFIED” top box check from inadvertently profiling as a “HIGHLY QUALIFIED” rating, senior raters need to maintain a “cushion” in the number of “MOST QUALIFIED” ratings given rather than impending to the line at less than 50 percent. This is best accomplished by limiting the “MOST QUALIFIED” top box to no more than one-third of all ratings given for officers of a given rank.

— To provide senior raters flexibility when initially establishing a credible “Senior Rater Profile” report, the first single “MOST QUALIFIED” top box report processed against the senior rater’s profile at that grade will generate a “MOST QUALIFIED” label, regardless of the actual profile. All other reports will receive an HQDA electronically generated label that reflects the senior rater’s profile at the time the report is processed.

Note: Part VI, block a will not be completed on promotable CW4s serving in an authorized position of the next higher rank and CW5s. An HQDA electronically generated label, which states “No Box Check,” will be placed over the boxes in Part VI, block a.

Reference: None

DA Form 67–10–2, part V: block b—Number of Officers Senior Rated

Action required: The senior rater will enter the total number of Army officers of the same rank as the rated officer he or she currently senior rates. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify senior raters with small rating populations and weigh the OER accordingly.

Note. Promotable officers with a “P” after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries.

Reference: None

DA Form 67–10–2, part V: c—Senior Rater Narrative

Action required: Narrative comments by the senior rater on rated officer’s potential are mandatory. Simply stating concurrence with the rater’s or intermediate rater’s evaluation does not fulfill the intent of this paragraph.

— When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated officer, he or she will enter the following statement in part VI, block c: “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days.” In these cases, all other entries in part VI, blocks a, b, and d will be left blank.

Note. Senior raters will use the electronic form within the EES to automatically enter the appropriate statement in the DA Form 67-10-2, part VI, block c, if he or she is unable to evaluate the rated officer. On DA Form 67-10-2s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will enter the statement that they are unable to evaluate the rated officer, using the electronic form within the EES. All other entries in part VI will be left blank.

— The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated officer’s potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty

Table 2–12
Senior rater for DA Form 67–10–2—Continued

- assignments, and level of assignments, and/or retention, when applicable.
- Anything unusual about the DA Form 67-10-2 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated officer's signature; signatures are out of sequence on the DA Form 67-10-2; changes in an evaluation resulting from rated officer comments; that multiple referral attempts have been made to the rated officer).
 - Senior raters will comment on any substantiated finding, in an Army or Department of Defense investigation or inquiry, that a rated officer: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or sexual assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
Note. If the rated officer is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 67-10-2, for any reason, the senior rater will either resolve the problem or use the electronic form within the EES to automatically enter the appropriate statement explaining why the rated officer's signature is left blank in part II, block e1. Otherwise, the EES may not allow the DA Form 67-10-2 to be submitted. An DA Form 67-10-2 stating that the officer cannot sign due to CAC issues is unacceptable and such DA Form 67-10-2s will not be processed. The DA Form 67-10-2 will not be delayed because it lacks the rated officer's signature.
 - If the senior rater's evaluation is based on infrequent observation of the rated officer, this fact should be noted. Senior raters may also comment on the fact the rated officer is in a rating population that includes three officers or fewer. The senior rater may not comment on, or make reference to, actual placement of the box check in part VI, block a, the boxes, or how the rated officer would be profiled.
 - In cases when the senior rater is also serving as the rater, he or she will complete parts IV, blocks a through d1 in the rater's portion of the DA Form 67-10-2. Part IV, block e "comments" section will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block e "comments" section include "Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19." (or para 2–20, as appropriate) or "Serving as rater and senior rater in accordance with the CG, HRC exception to policy." when applicable.) The senior rater will not complete the box check assessment in part IV, block e. The senior rater may add additional comments addressing the performance of the rated officer within part IV, block e "comments section". Part IV, block d2 is optional. All blocks in part VI will be completed. Promotion potential comments will be entered in part VI, block c. The senior rater will sign the DA Form 67-10-2 in both the senior rater's and the rater's signature blocks.
 - When serving as rater and senior rater for warrant Officers in the ranks of CW4P and CW5, the senior rater box check in part VI, block a is not selected, however, the overall performance box check selection in part IV, block e will be completed. This exception is only authorized for these two ranks.

Reference: None

DA Form 67–10–2, part V: block d—Three Future (Successive) Assignments

Action required: The senior rater will list up to three (with a minimum of two) different successive duty positions (by job title) in which the rated officer is best suited to serve based on the rated officer's demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for DA Form 67-10-2s on which the rater indicates "UNSATISFACTORY" and the senior rater indicates a rating of "NOT QUALIFIED." On these OERs only, no successive duty positions are required.

Reference: None

Section V

DA Form 67–10–3 (Strategic Grade Plate (O6) Officer Evaluation Report)

2–15. Part I, administrative data

Part I is for administrative data, including identification of the rated officer, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of the DA Form 67–10–3. See table 2–24 for a list of codes and reasons for submitting OERs and table 2–25 for the codes and reasons for nonrated periods.

Table 2–13
Administrative data for DA Form 67–10–3

DA Form 67–10–3, part I: block a—Name

Action required: Enter the rated officer's full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 67–10–3, part I: block b—SSN

Action required: Enter the rated officer's full nine-digit SSN (for example, 123–45–6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

Reference: None

DA Form 67–10–3, part I: block c—Rank

Action required: Enter the rated officer's three-letter rank abbreviation, not pay grade (for example, "COL" for colonel) as of the "THRU" date of the DA Form 67-10-3.

Table 2–13
Administrative data for DA Form 67–10–3—Continued

- If the rated officer has been selected for promotion and is serving in a position authorized for the next higher rank, they will be rated in the promotable rank and a “P” will be placed after his or her current rank (for example, “LTCP”).
- If the rated officer is not assigned to a position authorized for the higher rank, no “P” will be entered after the rank.
- If the rated officer has been frocked to the next higher rank and is serving in a position authorized for the rank to which he or she is frocked, enter the frocked rank.
- If the rated officer has been frocked to a higher rank but is not yet serving in a position authorized for the higher rank, enter the lower rank.
Note: For ARNG Officers, promotions/promotable status’ dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists. (See AR 623-3 para 2-11).

Reference: AR 600–20

DA Form 67–10–3, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated officer’s rank as of the “THRU” date of the DA Form 67-10-3. If the officer is promotable, but not yet promoted, the date of rank is for the current rank. If the rated officer has been frocked to a higher rank and is serving in an authorized position, enter the effective date of the frocking. If the rated officer has been frocked to a higher rank and is not yet serving in an authorized position requiring the higher rank, enter the date of rank of the lower rank.

Reference: None

DA Form 67–10–3, part I: block e—Branch

Action required: Enter the two-character basic branch abbreviation or VTIP/CFD. For general officers, enter “GO.” The two-character branch entry will not be “GS.”

Reference: DA Pam 600–3

DA Form 67–10–3, part I: block f—COMP Status Code

Action required: For USAR or ARNG, enter status code as follows:

- IRR—individual ready reserve (or IRR–MOB for mobilized IRR Soldier).
- IMA—individual mobilization augmentee (or IMA–MOB for mobilized IMA Soldiers).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
- TPU—troop program unit.
- ADOS—active duty for operational support.
- AGR—active guard reserve.
- MOB—mobilized Soldier.
- CO–ADOS—contingency operations-active duty for operational support.
- ADOS–RC—active duty for operational support-RC.
- M–DAY—man-day ARNG traditional Soldiers.

Reference: None

DA Form 67–10–3, part I: block g—Unit, Org., Station, ZIP Code or APO, Major Command

Action required: Enter the rated officer’s unit, organization, station, zip code, or APO, and Major Command in the order listed on the DA Form 67-10-3.

Note. The electronic form within the EES may not automatically enter deployed unit data; however, it may be changed manually on the DA Form 67-10-3. The USAR must include the appropriate major USAR command or USAR general officer command. On DA Form 67-10-3s for AMEDD officers assigned or attached to the APMC who do not complete AT or ECT, use the APMC address with “AR–MEDCOM” as the major command.

—The address should reflect the rated officer’s location as of the “THRU” date of the DA Form 67-10-3. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit’s address with duty at (abbreviated “w/dy at”) the Soldier’s deployed unit location.

Reference: None

DA Form 67–10–3, part I: block h—Unit Identification Code

Action required: Enter the rated officer’s UIC.

Note. This code can be automatically populated by using the electronic form within the EES if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 67–10–3, part I: block i—Reason for Submission

Action required: Enter the appropriate code (left block) and reason (right block) that identify why the DA Form 67-10-3 is being prepared for submission.

Note. On DA Form 67-10-3s for AMEDD officers attached to the APMC who do not complete AT or ECT, use code 19 “AHRC–Directed.”

Reference: Table 2–24

Table 2–13
Administrative data for DA Form 67–10–3—Continued

DA Form 67–10–3, part I: block j—Period Covered

Action required: The period covered is the period extending from the day after the “THRU” date of the last evaluation report to the date of the event causing the DA Form 67-10-3 to be written. The rating period is that portion of the period covered during which the rated officer serves in an assigned position under the rater who is writing the DA Form 67-10-3. The period covered and the rating period will always end on the same date (the “THRU” date of the DA Form 67-10-3). The beginning date of the rating period may not be the same as the beginning date of the period covered (the “FROM” date). For example, an officer departs on PCS 1 July and is given a “Change or Rater” evaluation report with a “THRU” date of 30 June. After 5 days of in-transit travel and 20 days of leave, the officer reports for duty at their new unit on 26 July. Then, on 1 November, the officer changes duty (but the rater remains the same) and is given a “Change of Duty” DA Form 67-10-3. The period covered on this DA Form 67-10-3 would be 1 July (“FROM” date) to 31 October (“THRU” date); however, the rating period would be from 26 July to 31 October.

Note. The “THRU” date on “Change of Rater” and “Change of Duty” DA Form 67-10-3s will be the day before the change takes effect. Likewise, for rated officers signing out on transition leave, the “THRU” date will be the rated officer’s final duty day in the assigned duty position before transition leave begins. Use the YYYYMMDD format for “FROM” and “THRU” dates. On DA Form 67-10-3s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the “THRU” date will be based on the rated officer’s RYE date for code 19 “AHRC–Directed” DA Form 67-10-3s.

Reference: None

DA Form 67–10–3, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the rating period and dividing it by 30.

Note. Do not use the number of days in the entire period covered by the DA Form 67-10-3. The rated months will equal the period covered minus all nonrated time. After dividing by 30, if there are 15 or more days left, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 67–10–3, part I: block l—Nonrated Codes

Action required: Enter the appropriate nonrated codes. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block l are not required for ARNG officers not on active duty.

Reference: Table 2–25

DA Form 67–10–3, part I: block m—Number of Enclosures

Action required: Indicate the total number of enclosures. If there are no enclosures, enter “0” or leave blank.

Reference: None

DA Form 67–10–3, part I: block n—Rated Officer’s Email Address

Action required: Enter the rated officer’s .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

2–16. Part II, authentication

This part of the DA Form 67–10–3 is for authentication by the rated officer and rating officials after the DA Form 67–10–3 has been completed at the end of the rating period. To facilitate the rated officer in signing the OER after authentication by the rating officials, the DA Form 67–10–3 can be signed and dated by each individual in the rating chain up to 14 days prior to the “THRU” date of the DA Form 67–10–3; however, the DA Form 67–10–3 cannot be forwarded to HQDA until the “THRU” date of the DA Form 67–10–3.

Note. Rating officials’ names can be automatically entered by using SSNs and the first two characters of the last name when using the electronic form within the EES. The following rules apply:

- a. The senior rater’s signature and date cannot be before the rater’s or intermediate rater’s signatures.*
- b. The rated officer’s signature and date cannot be before the rater’s, the intermediate rater’s, or the senior rater’s signatures.*

Table 2–14
Authentication for DA Form 67–10–3

DA Form 67-10-3, part II: blocks a (1 through 7)—Rater’s Information

Action required: Enter the rater’s information – name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789), rank, position, signature, email, and validation date.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-3. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the

Table 2-14
Authentication for DA Form 67-10-3—Continued

- authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-3, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
Note. The rater’s signature and date are required on the completed DA Form 67-10-3.
 - For raters of other Services, enter appropriate rank abbreviation. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM, GG, GS, or UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
 - For allied forces officers serving as a rater, enter the rater’s country or country abbreviation in parentheses after their name (for example, (AU), (Italy), and (GBR)). Allied forces raters of U.S. Army officers will require a international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for a international rater identification number will be submitted to HRC, Evaluations branch (see appendix B for contact information and address). The request will include: justification, allied forces officer’s complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.
Note: Allied forces rating officials may not have the ability to sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.
 - If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and c.
Note. On DA Form 67-10-3s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will serve as rater and senior rater with no other rating officials and will sign the DA Form 67-10-3 in part II, both blocks a and c (as a senior rater who does not meet eligibility requirements to evaluate the rated officer) for code 19 “AHRC–Directed” DA Form 67-10-3s.

Reference: None

DA Form 67-10-3, part II: blocks b (1 through 7)—Intermediate Rater’s Information

Action required: Enter the intermediate rater’s information - name (last, first, MI, suffix) in capital letters, SSN (optional) (for example, 123-45-6789), rank, position, signature, email, and validation date.

- As an alternative to providing an optional SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-3. A “P” is added to the rank only if the intermediate rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher grade and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-3, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
Note. The intermediate rater’s signature and date are required on the completed DA Form 67-10-3.
- For intermediate raters of other Services enter appropriate rank abbreviation. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM, GG, GS, or UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or not in any category above, enter appropriate grade level.
- For allied forces rating officials, leave the SSN blank. Enter the intermediate rater’s country or country abbreviation in parentheses after the name (for example, (AU), (Italy), and (GBR)). Other data remain the same.

Reference: None

DA Form 67-10-3, part II: blocks c (1 through 11)—Senior Rater’s Information

Action required: Enter the senior rater’s information – name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/rank/position/signature/validation date/organization/branch/component/telephone number/email address.

- As an alternative to providing an SSN, individuals possessing a Department of Defense (DOD) issued Common Access Card (CAC) may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-3, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used.
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-3. A “P” is added to the rank only if the senior rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, enter the two-character basic branch abbreviation or VTIP/CFD. For general officers, enter “GO”. The two-character branch entry will not be “GS”.

Table 2–14
Authentication for DA Form 67–10–3—Continued

- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the branch block in part II, block c. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the branch block. Civil service raters will enter the pay grade (GM/GG/GS/JA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter “DAC,” for civilians of other Services within DOD, enter “CIV” as the branch.
- Component entry will be “RA” for Regular Army, “USAR” for U.S. Army Reserve, “ARNG” for Army National Guard entered for Army components. All others will enter “NONE”.
- The senior rater will sign the DA Form 67-10-3 even if he or she is unable to evaluate the rated officer due to lack of qualification.
Note. The senior rater’s signature and date are required on the completed DA Form 67-10-3 even if he or she is unable to evaluate the rated officer due to lack of qualification. Using the electronic form within the EES, senior raters who lack minimum rating qualification will check the “NO” box in response to the question “Have you been the senior rater for this officer for at least 60 days?” to enter the statement “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days” in part VI, block c, leaving all other portions of part VI blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated officer is 90 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers. On DA Form 67-10-3s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will sign the DA Form 67-10-3 in part II, block c as a senior rater who does not meet eligibility requirements to evaluate the rated officer for code 19 “AHRC–Directed” DA Form 67-10-3s.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and c.

Reference: None

DA Form 67-10-3, part II: blocks d—Referred Report

Action required: If referral of an DA Form 67-10-3 is required, the senior rater will place an “X” in the appropriate box in part II, block d of the DA Form 67-10-3 (before he or she has signed and dated the DA Form 67-10-3). The DA Form 67-10-3 will then be provided to the rated officer for placement of an “X” in the appropriate box in part II, block d for signature and validation of administrative data. (“YES” if the rated officer will provide comments as an enclosure to the DA Form 67-10-3 or “NO” if the rated officer will not provide comments.)

Reference: None

DA Form 67-10-3, part II: blocks e—Rated Officer’s Signature

Action required: : The rated officer will sign and date the DA Form 67-10-3 after it has been completed and signed by all rating officials in the rating chain. The rated officer’s signature acknowledges that the rated officer has seen the completed DA Form 67-10-3, parts I through VI, and verifies the accuracy of the administrative data in part I, the rating officials in part II, and the APFT and height and weight data in part IV, block a. This action increases administrative accuracy of the DA Form 67-10-3 since the rated officer is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated officer based on inaccurate administrative data. Any administrative errors noted by the rated officer will be brought to the attention of the rating officials and corrected prior to their signature.

Note. On DA Form 67-10-3s for APMC-managed AMEDD officers who do not complete AT/ECT, block e will be left blank; these officers will not sign the completed DA Form 67-10-3 prior to submission to HQDA using EES in accordance with AR 623–3.

- If the rated officer is physically unavailable to sign the DA Form 67-10-3 (and the DA Form 67-10-3 cannot be forwarded to him or her to sign), is unable to sign the DA Form 67-10-3 digitally or manually, or refuses to sign the DA Form 67-10-3 for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the electronic form within the EES, the senior rater will check the appropriate response to the question “Is the rated officer available for signature?” or the comment “Rated Soldier refused to sign.” The applicable statement will be entered in part VI, block c (“The rated officer was unavailable for signature” and/or “The rated officer refused to sign”).

Note. If the rated officer’s signature is left blank in part II, block e, and the Wizard application, of electronic form within the EES is not used to enter the appropriate statement, the EES may not allow the DA Form 67-10-3 to be submitted. DA Form 67-10-3s stating that the officer cannot sign due to CAC issues will not be processed.

- If the DA Form 67-10-3 is adverse or contains derogatory information concerning the rated officer, it must be referred to the rated officer before he or she signs the DA Form 67-10-3.

Note. Using the electronic form within the EES will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67-10-3.

Reference: None

DA Form 67-10-3, part II: blocks f1 through f7—Supplementary Review

Action required: A documented supplementary review, will be performed by a Uniformed Army Advisor above the rating chain, when there are no uniformed Army designated rating officials for the rated Officer, for “Relief for Cause” reports when the senior rater is the individual directing the relief, or if the relief has been directed by an individual other than the rating officials. (see paras 2-29 and 2-30).

- The first U.S. Army officer above the senior rater in the organization or supervision will be designated as the Uniformed Army Advisor and conduct a supplementary review. This officer will be designated by the commander establishing the rating chain and identified in the published rating scheme at the beginning of the evaluation period.

Table 2-14
Authentication for DA Form 67-10-3—Continued

- The senior rater will mark “Yes” or “No” in block f1 to identify if the DA Form 67-10-3 requires a supplementary review.
- If the “Yes” box is marked in part II, block f1, enter the name, rank, and position of the reviewer in blocks f2 through f4. The reviewer may prepare an enclosure to the DA Form 67-10-3. If necessary, the reviewer will comment upon the accuracy or clarity of the completed DA Form 67-10-3.
- If the reviewer determines the OER is accurate and comments are not necessary, the reviewer will indicate so by selecting the “NO” in part II, block f5 and sign in part II, block f6 with no added comments necessary. If the reviewer determines comments are necessary, the reviewer will select “YES” in part II, block f5 of the DA Form 67-10 series OER and prepare and attach an enclosure to the OER and sign in part II, block f6.
- 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.
- When required, the supplementary reviewer’s signature and date will be annotated on the completed DA Form 67-10-3.
Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
Note. Using the electronic DA Form 67-10-3 within the EES will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67-10-3.

Reference: AR 623-3, paragraph 2-8

DA Form 67-10-3, part II: block g—MSAF Date

Action required: Raters will enter the most current completion date for a multi-source assessment and feedback (MSAF) within 36 months preceding the “THRU DATE” in accordance with AR 350-1. If the rated Soldier has not completed a MSAF in accordance with AR 350-1, the entry will be left blank and the rater will provide comment in part IV, block c.6. Rating officials are reminded that the MSAF is a self-assessment tool.

Note. For CSL LTC and COL level commanders, the most recent completed CDR360 assessment date will be entered in lieu of the MSAF date.

Reference: AR 350-1

2-17. Part III, duty description

Part III provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct.

Note. The duty description on the DA Form 67-10-1A can be automatically populated to the DA Form 67-10-3 on the electronic form within the EES.

Table 2-15
Duty Description for DA Form 67-10-3

DA Form 67-10-3, part III: block a—Principal Duty Title

Action required: Match principal duty title with unit force structure documents or a principal duty title that describes duties performed; should be the same as the duty title found on the DA Form 4037 (ORB).

Note. On DA Form 67-10-3s for all AMEDD officers attached or assigned to the APMC, the principal duty title will be “APMC-Managed Officer.”

Reference: None

DA Form 67-10-3, part III: block b—Position area of concentration (AOC code/Branch)

Action required: For commissioned officers, this entry will contain, as a minimum, the first five characters of the position requirements code (such as 42B00); seven characters if an ASI is needed; or nine characters if a language identification code is required; should be the same position code as on the DA Form 4037 (ORB).

Reference: None

DA Form 67-10-3, part III: block c—Significant Duties and Responsibilities

Action required: State the officer’s significant duties and responsibilities, written in a succinct narrative (not bullet) format, using the present tense to identify what the rated officer is supposed to do or be responsible for in his or her duty position. Unless changes occurred during the rating period, the duty description on the DA Form 67-10-3 should be the same as the one on the DA Form 67-10-1A. The rater will describe in detail the rated officer’s duties and responsibilities, the number of personnel supervised, amount of resources under the rated officer’s control, and scope of responsibilities. Descriptions must be clear and concise with emphasis on specific functions required of the rated officer. The rater should also note conditions unique to the assignment. For example, RA officers who are assigned to full-time support duties with RC units or USAR officers assigned to RA units often perform unique functions in that duty. In order to ensure that due consideration is given to these factors, the duty description should note these conditions. As a minimum, the duty description will include principal duties and significant additional duties.

—When an officer is serving under dual supervision, the statement “Officer serving under dual supervision” will be entered as the first line of the duty description. The duty description will be jointly developed by the supervisors in each chain of command.

Reference: DA Pam 611-21

2–18. Part IV, Performance evaluation-professionalism, competencies and attributes

Part IV provides an assessment of a rated officer's professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army officer. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are a critical attributes that define a leaders character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective Officer Corps. Attributes and Core Leader Competencies are on the DA Form 67–10 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all officers. Part V, intermediate rater (if applicable) This part of the form is used only if an intermediate rater is included in the rating chain. Part V is for the intermediate rater's assessment of the rated officer's performance and potential. This is the only part of the DA Form 67–10–3 that is completed by the intermediate rater.

Table 2–16
Performance evaluation—professionalism and Army Values for DA Form 67–10–3

DA Form 67-10-1, part IV: block a—APFT

Action required: In the spaces after APFT, the rater will enter "PASS" or "FAIL" and the date (YYYYMMDD) of the most recent record APFT administered by the unit within the 12-month period prior to the "THRU" date of the DA Form 67-10-3; however, the APFT date does not always have to be within the period covered on the DA Form 67-10-3. If the rated officer was unable to take a record APFT (due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

- For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter "PASS" or "FAIL" for the alternate APFT as prescribed by health care personnel. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the Soldier's profile is required.
- For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason why it has been left blank.
- Soldiers with temporary profiles at the time of the unit's record APFT will enter "PROFILE" and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the "THRU" date of the DA Form 67-10-3.
- Sample entries are "PASS 20100414," "FAIL 20100507," or "PROFILE 20100302." APFT numerical scores will not be entered.
- The rater will address a "FAIL" entry for APFT in the narrative space provided in part IV, block a. Comments on "FAIL" entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards (see AR 350–1).
- A comment on "PROFILE" entries will be made only if the rated officer's ability to perform his or her assigned duties is affected. The rater will explain the absence of an APFT entry in part IV, block a. If the APFT has not been taken within 12 months of the "THRU" date of the DA Form 67-10-3, the APFT data entry will be left blank. In accordance with AR 40–501, an APFT is not required for pregnant officers.
- For pregnant officers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the rater will enter the following statement in part IV, block a: "Exempt from APFT requirement in accordance with AR 40–501." *Note. When using the electronic form within the EES, the APFT and height and weight statement will be combined.*
- In accordance with AR 350–1, officers 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile unless a current profile exists.
- Additionally, officers 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600–9. If no APFT is taken, leave the APFT entry blank and make the following comment in part IV, block a addressing the blank APFT entry: "Officer exempt from APFT requirement in accordance with AR 350–1."
- Deployed units unable to administer the APFT due to mission or conditions will annotate DA Form 67-10-3s in the provided comment field with the following statement: "Officer was unable to take the APFT during this period due to deployment for combat operations/ contingency operations." In accordance with AR 350–1, upon return from deployment officers will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG officers.
Note. Officers are not exempted from complying with height and weight requirements of AR 600–9.

Reference: AR 40–501, AR 350–1, and AR 600–9

DA Form 67-10-1, part IV: block a (continued)—Height and Weight

Action required: In the spaces after "HEIGHT" and "WEIGHT" the rater will enter the rated officer's height and weight, respectively, as of the unit's last record weigh-in. If there is no unit weigh-in during the period covered by the DA Form 67-10-3, the rater will enter the officer's height and weight as of the "THRU" date of the DA Form 67-10-3. An entry of "YES" or "NO" will also be placed in the space next to the weight to indicate compliance or noncompliance with AR 600–9. Sample entries are "HEIGHT: 72, WEIGHT: 180 YES"; "HEIGHT: 71, WEIGHT: 225 NO"; or "HEIGHT: 73, WEIGHT: 215 YES."

- For officers 60 years of age and older who must remain in compliance with height and weight standards, the height and weight entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.

Table 2–16**Performance evaluation—professionalism and Army Values for DA Form 67–10–3—Continued**

- For an officer who exceeds the screening table weight, a “YES “ entry may only be entered after a body composition measurement has been completed and found to be within body composition standards, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600–9 in part IV, block a. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO “entry is still required because medical waivers to weight control standards are not permitted for DA Form 67-10-3 purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant officers, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600–9.”
Note. When using the electronic form within the EES, the APFT and height and weight statement will be combined.
- Rating officials will not use the word “pregnant” nor refer to an officer’s pregnancy in any manner when completing the DA Form 67-10-3.
- For rated officers with major limb loss, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600-9.” Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the DA Form 67-10-3.
- For rated officers having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in part IV, block a “Rated officer has a DCS, G–1 waiver of compliance with AR 600–9.” In such cases, a copy of the DCS, G–1 approval memo will be submitted as an enclosure to the DA Form 67-10-3.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the officer is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600–9

DA Form 67-10-1, part IV: block b – Qualities for Strategic Assignments

Action required: The rater may provide narrative comment indicating and identifying skills and qualities the officer possesses for up to three strategic assignments. These assignments may also be listed as duty positions (by job title).

Reference: DA Pam 600–3

DA Form 67-10-1, part IV: blocks c—Attributes and Competencies

Action required: The rater must quantitatively and qualitatively paint a word picture using short concise narrative format capturing the rated officer’s performance as it relates to the Leadership Requirements Model, which conveys expectations for Army leaders.

- Comments are mandatory and should compare the performance of the rated officer with his or her contemporaries (AR 623–3) during the evaluation period. The focus is on the results achieved and the manner by which they were achieved.
-

Reference: None

DA Form 67-10-1, part IV: block c.1—Character – Encompasses elements internal and central to a leader’s core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Action required: Rating officials will comment on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated officer made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated officer to foster a climate of dignity and respect and adhere to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated officer—

1. Committed an act of sexual harassment or sexual assault.
2. Failed to report a sexual harassment or sexual assault.
3. Failed to respond to a complaint or report of sexual harassment or sexual assault.
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

Note: additional comments may be explained and entered in part IV, blocks c.2 (if required).

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and DA civilians make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Comments, when provided, will refer to a specific value and be included in the narrative (for example, “A solid, trustworthy officer whose integrity is beyond reproach.”). A list of Army Values and their definitions follow (a more detailed explanation is available in ADRP 6-22).

Table 2-16
Performance evaluation—professionalism and Army Values for DA Form 67-10-3—Continued

1. *Loyalty*: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. *Duty*: Fulfills obligations (professional, legal, and moral).
3. *Respect*: Treats people as they should be treated.
4. *Selfless service*: Puts the welfare of the Nation, the Army, and subordinates priorities before self.
5. *Honor*: Adheres to the Army's publicly declared code of values.
6. *Integrity*: Does what is right, legally and morally.
7. *Personal courage*: Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person's point of view, to identify with, and enter into another person's feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person's situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier's selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army's heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one's own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization's key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: None

DA Form 67-10-1, part IV: block c.2—Performance comments, Potential comments, and DA Form 67-10-1A use validation.

Action required: : The rater must quantitatively and qualitatively paint a word picture using short concise narrative format capturing the rated officer's performance and potential as it relates to the Leadership Requirements Model, which conveys expectations for Army leaders regarding strategic grade attributes and competencies in the rated officer's current duty position. The rater will also check the appropriate box concerning receipt of the DA Form 67-10-1A; comments are mandatory in part IV, block c2. "comments on performance" for a "NO" entry.

- -Performance and potential comments are mandatory. Exception requirements exist below for when a rating official is serving as both rater and senior rater. Performance comments should address key items mentioned in the duty description in part III and, as appropriate, the duty description, objectives, and contributions portions of the DA Form 67-10-1A (or equivalent) as they relate to the Leadership Requirements Model.
- Potential comments should compare the potential of the rated officer with his or her contemporaries during the evaluation period (see AR 623-3). Potential comments should primarily focus on the rated officer's potential for promotion, command, schooling (military and civilian), strategic assignments, successive duty assignments and level of assignments, and/or retention, when applicable.
- In cases when the rating official is serving as both rater and senior rater, he or she will complete the rater's portion of the DA Form 67-10-3 part IV, blocks a through c1. Comments to cite the authority for the rating official to act as both rater and senior rater will be entered within part IV, block c2 (Appropriate comments for part IV, block c2 include "Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19 (or para 2-20, as appropriate)" or "Serving as rater and senior rater in accordance with the CG, HRC exception to policy"). As an option, the rating official serving as rater and senior rater may provide additional comments on performance and potential. The senior rater will sign the DA Form 67-10-3 in both the senior rater's and the rater's signature blocks.
- The rater will comment on how well the officer promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated officer on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program.

Presence – Is the impression a leader makes on others contributing to their success in leading them. This impression is the sum of a leader's outward appearance, demeanor, actions, and words. Presence incorporates a leader's effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Intellect – Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended, as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Table 2–16**Performance evaluation—professionalism and Army Values for DA Form 67–10–3—Continued**

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Expertise: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Leads – Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. Organizational and strategic leaders guide their organizations using indirect means of influence.

Extends influence beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Leads by example: Living by the Army Values and the Warrior Ethos best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Develops – Developing people and the organization with a long-term perspective requires leaders who:

- *Create a positive environment* that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.
- *Seek self-improvement.* To master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.
- *Invest adequate time and effort* to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
- *Act as stewards of the profession,* making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.

Achieves – Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals allows for accomplishing missions consistently and ethically.

Reference: None

2-19. Part V, intermediate rater (if applicable)

This part of the form is used only if an intermediate rater is included in the rating chain. Part V is for the intermediate rater's assessment of the rated officer's performance and potential. This is the only part of the DA Form 67-10-3 that is completed by the intermediate rater.

Table 2-17
Intermediate rater for DA Form 67-10-3

DA Form 67-10-3, part V: Intermediate Rater (Only be included for specialty branches (Chaplain Corps, JAGC, and AMEDD), when there is a level of technical supervision between the rater and senior rater, in dual supervisory situations, and when the rater's immediate supervisor would be the logical senior rater, but does not meet senior rater eligibility requirements as outlined in AR 623-3, table 2-1.)

Action required: Narrative comments by the intermediate rater are mandatory. Comments should succinctly address the rated officer's performance and potential. Comments may address the rated officer's demonstrated professionalism and/or ability to maintain required standards for credentialing or certification, foreign language skills, or high-level security clearances. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph. If the intermediate rater has not been in the position the minimum number of days necessary to evaluate the rated officer, he or she will enter the statement "I am unable to evaluate the rated officer because I have not been the intermediate rater for the required number of days." If the intermediate rater performs the functions of the rater, as authorized in AR 623-3, he or she will complete the rater's parts of the DA Form 67-10-3. In this case, part V will only cite the authority and reasons for assuming the rater's responsibilities.

Reference: None

2-20. Part VI, senior rater

a. Part VI is the senior rater's assessment of the rated officer's potential. Part VI is intended to capitalize on the senior rater's additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated officer's DA Form 67-10-1A is intended to assist the senior rater and supplement more traditional means of evaluation, such as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated officer, he or she must meet the minimum requirements that are set forth in AR 623-3.

c. In evaluating the whole officer, the senior rater makes an assessment of the officer's potential for promotion to the next higher grade when compared with other officers. In doing so, a senior rater must carefully manage the percentage of his or her "MULTI-STAR POTENTIAL" and "PROMOTE TO BG" ratings and must, therefore, be aware of when an officer will be in a zone of consideration for promotion, command, or school selection in order to render "MULTI-STAR POTENTIAL OR "PROMOTE TO BG" ratings accordingly.

Note. A senior rater's subsequent statement that he or she rendered an inaccurate "RETAIN AS COL" or lower evaluation of a rated officer's potential in order to preserve "MULTI-STAR POTENTIAL" or "PROMOTE TO BG" ratings for other officers (for example, those in a zone for consideration for promotion, command, or school selection) will not be a basis for an appeal.

d. Senior raters who meet minimum qualification criteria established in AR 623-3 will complete part VI, block a. An officer whose rank on an DA Form 67-10-3 is a "P" (a promotable officer serving in an authorized position of the next higher rank) receiving a rating in part VI, block a will be profiled against the senior rater's profile for the next higher rank. For example, a LTC(P) serving in an authorized COL position will be profiled against the senior rater's COL profile population. If the LTC(P) is not serving in an authorized COL position, he or she will be assessed on the DA Form 67-10-2 and profiled against the senior rater's LTC profile population.

Table 2-18
Senior rater for DA Form 67-10-3

DA Form 67-10-3, part VI: block a—Potential Box Check

Action required: – The senior rater makes an assessment of the rated officer's overall potential when compared with all other officers of the same rank the senior rater has previously rated or currently has in his or her population.

Note. Promotable officers with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as officers of the next higher rank in making comparative assessments with contemporaries. On "Senior Rater Profile" reports, they will be profiled against the next higher rank.

Note: A senior rater credit of five (5) "RETAIN AS COLONEL" will be awarded to the senior raters profile allowing use of the "MULTISTAR POTENTIAL" box immediately. This provides flexibility to senior raters and eliminates some of the issues associated with immature profiles.

Table 2–18
Senior rater for DA Form 67–10–3—Continued

- This potential assessment is evaluated in terms of the majority of officers in the population. If the potential assessment is consistent with the majority of officers in that grade the senior rater will place an “X” in the “RETAIN AS COLONEL” box. If the rated officer’s potential exceeds that of the majority of officers in the senior rater’s population, the senior rater will place an “X” in the “PROMOTE TO BG” OR “MULTISTAR POTENTIAL” (as applicable). The senior rater will use these upper two boxes when identifying the upper third of officers for each rank, with further stratification by use of the “MULTISTAR POTENTIAL” box (as applicable). If the rated officer’s potential is below the majority of officers in the senior rater’s population for that grade and the senior rater does not believe the rated officer should be retained on active duty, the senior rater will place an “X” in the “UNSATISFACTORY” box.
Note: In order to maintain a credible profile, senior raters must maintain a cumulative percentage of the upper two boxes combined (“PROMOTE TO BG” and “MULTISTAR POTENTIAL”) less than 50 percent of the ratings for a given rank and/or the “MULTISTAR POTENTIAL” box not to exceed 24 percent of the ratings for a given rank. A report with a “MULTISTAR POTENTIAL” rating that causes a senior rater’s profile to exceed 24 percent of ratings for a given rank will be processed as a “PROMOTE TO BG” only if the cumulative percentage of the upper two boxes combined (“PROMOTE TO BG” and “MULTISTAR POTENTIAL”) is less than 50 percent of ratings for a given rank. If the combined cumulative percentage of the upper two boxes is 50 percent or more, the report will then be processed with a “RETAIN AS COLONEL” HQDA electronically generated label. A report with a “PROMOTE TO BG” rating that causes a senior rater’s profile cumulative percentage of the upper two boxes combined of 50 percent or more of the ratings for a given rank will be processed with a “RETAIN AS COLONEL” HQDA electronically generated label.
- To ensure maximum rating flexibility when rating populations change or to preclude a “MULTISTAR POTENTIAL” top box check from inadvertently profiling as a “RETAIN AS COLONEL” rating, senior raters need to maintain a “cushion” in the number of “MULTISTAR POTENTIAL” and “PROMOTE TO BG” ratings given rather than impending to the line at less than 24 percent of “MULTISTAR POTENTIAL” and 50 percent combined “MULTISTAR POTENTIAL” and “PROMOTE TO BG”. This is best accomplished by limiting the combined “MULTISTAR POTENTIAL” and “PROMOTE TO BG” top boxes to no more than one-third of all ratings given for officers of a given rank.
- All other DA Form 67-10-3s will receive an HQDA electronically generated label that reflects the senior rater’s profile at the time the DA Form 67-10-3 is processed.
Note: Part VI: block a will not be completed on promotable COLs who are serving in an authorized position of the next higher rank (an example: a COLP serving in an authorized BG position). An HQDA electronically generated label, which states “No Box Check” will be placed over the boxes in part VI block a.

Reference: None

DA Form 67-10-3, part VI: block b — Number of Officers Senior Rated

Action required: The senior rater will enter the total number of Army officers of the same rank as the rated officer he or she currently senior rates. This information, in conjunction with additional information contained on the HQDA electronically generated label, will help HQDA selection boards identify senior raters with small rating populations and weigh the report accordingly.

Reference: None

DA Form 67-10-3, part VI: block c—Senior Rater Narrative

Action required: Narrative comments by the senior rater on rated officer’s potential are mandatory. Simply stating concurrence with the rater’s or intermediate rater’s evaluation does not fulfill the intent of this paragraph.

- When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated officer, he or she will enter the following statement in part VI, block c: “I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days.” In these cases, all other entries in part VI, blocks a, b, and d will be left blank.
Note. Senior raters will use the electronic form within the Evaluation Entry System to automatically enter the appropriate statement in the DA Form 67-10-3, part VI, block c, if he or she is unable to evaluate the rated officer. On DA Form 67-10-3s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will enter the statement that he or she is unable to evaluate the rated officer, using the electronic form within the Evaluation Entry System. All other entries in part VI will be left blank.
- The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated officer’s potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments, and level of assignments, and/or retention, when applicable.
- Anything unusual about the DA Form 67-10-3 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated officer’s signature; signatures are out of sequence on the DA Form 67-10-3; changes in an evaluation resulting from rated officer comments; and that multiple referral attempts have been made to the rated officer).
- Senior raters will comment on any substantiated finding, in an Army or Department of Defense investigation or inquiry, that a rated officer: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
Note. If the rated officer is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 67-10-3, for any reason, the senior rater will either resolve the problem or use the electronic form within the Evaluation Entry System to automatically enter the appropriate statement explaining why the rated officer’s signature is left blank in part II, block e. Otherwise, the Evaluation Entry System may not allow the DA Form 67-10-3 to be submitted. An DA Form 67-10-3 stating that the officer cannot sign due to CAC issues is unacceptable and such DA Form 67-10-3s will not be processed. The DA Form 67-10-3 will not be delayed because it lacks the rated officer’s signature.
- If the senior rater’s evaluation is based on infrequent observation of the rated officer, this fact should be noted. Senior raters may also comment on the fact the rated officer is in a rating population that includes three officers or fewer. The senior rater may not comment on, or

Table 2-18
Senior rater for DA Form 67-10-3—Continued

- make reference to, actual placement of the box check in part VI, block a, the boxes, or how the rated officer would be profiled.
- In cases when the senior rater is also serving as the rater, he or she will complete parts IV, block a thru c1 in the rater's portion of the DA Form 67-10-3. Part IV, block c2 "Comments on Performance" will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block d "comments" section include "Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19 (or para 2-20, as appropriate)" or "Serving as rater and senior rater in accordance with the CG, HRC, exception to policy." when applicable.) As an option, the senior rater may add additional comments addressing the performance and potential of the rated officer within part IV, block c2. The senior rater will sign the DA Form 67-10-3 in both the senior rater's and the rater's signature blocks.

Reference: None

DA Form 67-10-3, part VI: block d—Three Future (Successive) Assignments

Action required: The senior rater will list up to three (with a minimum of two) different successive duty positions (by job title) in which the rated officer is best suited to serve based on the rated officer's demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for DA Form 67-10-3s on which the rater indicates unsatisfactory performance and potential comments that require the evaluation to be referred and the senior rater indicates a rating of "UNSATISFACTORY." On these OERs only, no successive duty positions are required.

Reference: None

Section VI

DA Form 67-10-4 (Strategic Grade Plate General Officer Evaluation Report)

2-21. Part I, administrative data

Part I is for administrative data, including identification of the rated officer, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of the DA Form 67-10-4. See table 2-24 for a list of codes and reasons for submitting OERs and table 2-25 for the codes and reasons for nonrated periods.

Table 2-19
Administrative data for DA Form 67-10-4

DA Form 67-10-4, part I: block a—Name

Action required: Enter the rated officer's full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 67-10-4, part I: block b—SSN

Action required: Enter the rated officer's full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a Department of Defense (DOD) issued Common Access Card (CAC) may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).

Reference: None

DA Form 67-10-4, part I: block c—Rank

Action required: Enter the rated officer's letter rank abbreviation, not pay grade (for example, "BG" for brigadier general) as of the "THRU" date of the DA Form 67-10-4.

- If the rated officer has been selected for promotion and is serving in a position authorized for the next higher rank, he or she will be rated in the promotable rank and a "P" will be placed after his or her current rank (for example, "COLP").
- If the rated officer is not assigned to a position authorized for the higher rank, no "P" will be entered after the rank.
- If the rated officer has been frocked to the next higher rank and is serving in a position authorized for the rank to which he or she is frocked, enter the frocked rank.
- If the rated officer has been frocked to a higher rank but is not yet serving in a position authorized for the higher rank, enter the lower rank.
Note: For ARNG Officers, promotions/promotable status' dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists (see AR 623-3 , para 2-11).

Reference: AR 600-20

DA Form 67-10-4, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated officer's rank as of the "THRU" date of the DA Form 67-10-4. If the officer is promotable, but not yet promoted, the date of rank is for the current rank. If the rated officer has been frocked to a higher rank and is serving in an authorized position, enter the effective date of the frocking. If the rated officer has been frocked to a higher rank and is not yet serving in an authorized position requiring the higher rank, enter the date of rank of the lower rank.

Reference: None

Table 2–19
Administrative data for DA Form 67–10–4—Continued

DA Form 67-10-4, part I: block e—Branch

Action required: Enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS".

Reference: DA Pam 600–3

DA Form 67-10-4, part I: block f—COMP Status Code

Action required: For USAR or ARNG, enter status code as follows:

IRR—individual ready reserve (or IRR–MOB for mobilized IRR Soldier).
IMA—individual mobilization augmentee (or IMA–MOB for mobilized IMA Soldiers).
DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
TPU—troop program unit.
ADOS—active duty for operational support.
AGR—active guard reserve.
MOB—mobilized Soldier.
CO–ADOS—contingency operations-active duty for operational support.
ADOS–RC—active duty for operational support-Reserve Component.
M–DAY—man-day ARNG traditional Soldiers.

Reference: None

DA Form 67-10-4, part I: block g—Unit, Org., Station, ZIP Code or APO, Major Command

Action required: Enter the rated officer's unit, organization, station, zip code, or APO, and Major Command in the order listed on the DA Form 67-10-4.

Note. The electronic form within the EES may not automatically enter deployed unit data; however, it may be changed manually on the DA Form 67-10-4. The USAR must include the appropriate major USAR command or USAR general officer command. On DA Form 67-10-4s for AMEDD officers assigned or attached to the APMC who do not complete AT or ECT, use the APMC address with "AR–MEDCOM" as the major command.

—The address should reflect the rated officer's location as of the "THRU" date of the DA Form 67-10-4. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit's address with duty at (abbreviated "w/dy at") the Soldier's deployed unit location.

Reference: None

DA Form 67-10-4, part I: block h—Unit Identification Code

Action required: Enter the rated officer's UIC.

Note. This code can be automatically populated by using the electronic form within the Evaluation Entry System, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 67-10-4, part I: block i—Reason for Submission

Action required: Enter the appropriate DA Form 67-10-4 code (left block) and reason (right block) that identify why the DA Form 67-10-4 is being prepared for submission.

Note. On DA Form 67-10-4s for AMEDD officers attached to the APMC who do not complete AT or ECT, use code 19 "AHRC–Directed."

Reference: Table 2–24

DA Form 67-10-4, part I: block j—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last evaluation report to the date of the event causing the DA Form 67-10-4 to be written. The rating period is that portion of the period covered during which the rated officer serves in an assigned position under the rater who is writing the DA Form 67-10-4. The period covered and the rating period will always end on the same date (the "THRU" date of the DA Form 67-10-4). The beginning date of the rating period may not be the same as the beginning date of the period covered (the "FROM" date). For example, an officer departs on PCS on 1 July and is given a "Change or Rater" evaluation report with a "THRU" date of 30 June. After 5 days of in-transit travel and 20 days of leave, the officer reports for duty at his or her new unit on 26 July. Then, on 1 November, the officer changes duty (but the rater remains the same) and is given a "Change of Duty" DA Form 67-10-4. The period covered on this DA Form 67-10-4 would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" DA Form 67-10-4s will be the day before the change takes effect. Likewise, for rated officers signing out on transition leave, the "THRU" date will be the rated officer's final duty day in the assigned duty position before transition leave begins. Use the YYYYMMDD format for "FROM" and "THRU" dates. On DA Form 67-10-4s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the "THRU" date will be based on the rated officer's RYE date for code 19 "AHRC–Directed" DA Form 67-10-4s.

Reference: None

DA Form 67-10-4, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the rating period and dividing it by 30.

Table 2–19
Administrative data for DA Form 67–10–4—Continued

Note. Do not use the number of days in the entire period covered by the DA Form 67-10-4. The rated months will equal the period covered minus all nonrated time. After dividing by 30, if there are 15 or more days left, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 67-10-4, part I: block l—Nonrated Codes

Action required: Enter the appropriate nonrated codes. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block l are not required for ARNG officers not on active duty.

Reference: Table 2–25

DA Form 67-10-4, part I: block m—Number of Enclosures

Action required: Indicate the total number of enclosures. If there are no enclosures, enter “0” or leave blank.

Reference: None

DA Form 67-10-4, part I: block n—Rated Officer’s Email Address

Action required: Enter the rated officer’s .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

2–22. Part II, authentication

This part of the DA Form 67–10–4 is for authentication by the rated officer and rating officials after the DA Form 67–10–4 has been completed at the end of the rating period. To facilitate the rated officer in signing the OER after authentication by the rating officials, the DA Form 67–10–4 can be signed and dated by each individual in the rating chain up to 14 days prior to the “THRU” date of the DA Form 67–10–4; however, the DA Form 67–10–4 cannot be forwarded to HQDA until the “THRU” date of the DA Form 67–10–4.

Note: Rating officials’ names can be automatically entered by using SSNs and the first two characters of the last name when using the electronic form within the EES. The following rules apply:

- a. The senior rater’s signature and date cannot be before the rater’s or intermediate rater’s signatures.*
- b. The rated officer’s signature and date cannot be before the rater’s, the intermediate rater’s, or the senior rater’s signatures.*

Table 2–20
Authentication for DA Form 67–10–4

DA Form 67-10-4, part II: blocks a (1 through 7)—Rater’s Information

Action required: Enter the rater’s information – name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789), rank, position, signature, email, and validation date.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the DA Form 67-10-4. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-4, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Note. The rater’s signature and date are required on the completed DA Form 67-10-4.

- For raters of other Services, enter appropriate rank abbreviation. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For allied forces officers serving as a rater, enter the rater’s country or country abbreviation in parentheses after his or her name (for example, (AU), (Italy), and (GBR)). Allied forces raters of U.S. Army officers will require a international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for a international rater identification number will be submitted to HRC, Evaluations branch (see app B for contact information and address). The request will include: justification, allied forces officer’s complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.

Note: Allied forces rating officials may not have the ability to sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.

Table 2–20
Authentication for DA Form 67–10–4—Continued

- If the senior rater is serving both as the rater and senior rater, the senior rater's information and signature will be entered in part II, blocks a and b.
Note. On DA Form 67-10-4s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will serve as rater and senior rater with no other rating officials and will sign the DA Form 67-10-4 in part II, both blocks a and b (as a senior rater who does not meet eligibility requirements to evaluate the rated officer) for code 19 "AHRC–Directed" DA Form 67-10-4s.

Reference: None

DA Form 67-10-4, part II: blocks b (1 through 11)—Senior Rater's Information

Action required: Enter the senior rater's information – name (last, first, MI, suffix) in capital letters, SSN (for example, 123–45–6789)/ rank, position, signature, validation date, organization, branch, component, telephone number, and email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the DA Form 67-10-4, should the need arise. As a minimum, an email address ending in ".gov" or ".mil" will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- The rank entry will be current as of the "THRU" date of the DA Form 67-10-4. A "P" is added to the rank only if the senior rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy "USN," U.S. Air Force "USAF," U.S. Marine Corps "USMC," U.S. Coast Guard "USCG" in the branch block in part II, block b. For example, a U.S. Navy captain would be entered as "CAPT" in the rank block and "USN" in the branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, "SES" will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter "DAC"; for civilians of other Services within DOD, enter "CIV" as the branch.
- The Component entry will be "RA" for Regular Army, "USAR" for U.S. Army Reserve, "ARNG" for Army National Guard, or "NONE".
- Component entry will be "RA" for Regular Army, "USAR" for U.S. Army Reserve, "ARNG" for Army National Guard entered for Army components. All others will enter "NONE".

Note. The senior rater's signature and date are required on the completed DA Form 67-10-4 even if they are unable to evaluate the rated officer due to lack of qualification. Using the electronic form within the EES, senior raters who lack minimum rating qualification will check the "NO" box in response to the question "Have you been the senior rater for this officer for at least 60 days?" to enter the statement "I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days" in part V.

Note. The minimum required time for senior rater eligibility to evaluate the rated officer is 90 days for USAR TPU, DIMA, and drilling IRR officers and ARNG officers. On DA Form 67-10-4s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will sign the DA Form 67-10-4 in part II, block b as a senior rater who does not meet eligibility requirements to evaluate the rated officer for code 19 "AHRC–Directed" DA Form 67-10-4s.

- If the senior rater is serving both as the rater and senior rater, the senior rater's information and signature will be entered in part II, blocks a and b.

Reference: None

DA Form 67-10-4, part II: blocks c—Referred Report

Action required: If referral of an DA Form 67-10-4 is required, the senior rater will place an "X" in the appropriate box in part II, block c of the DA Form 67-10-4 (before he or she has signed and dated the DA Form 67-10-4). The DA Form 67-10-4 will then be provided to the rated officer for placement of an "X" in the appropriate box in part II, block c and signature or validation of administrative data. ("YES" if the rated officer will provide comments as an enclosure to the DA Form 67-10-4 or "NO" if the rated officer will not provide comments.)

Reference: None

DA Form 67-10-4, part II: blocks d—Rated Officer's Signature

Action required: The rated officer will sign and date the DA Form 67-10-4 after it has been completed and signed by all rating officials in the rating chain. The rated officer's signature acknowledges that the rated officer has seen the completed DA Form 67-10-4, parts I through V, and verifies the accuracy of the administrative data in part I, the rating officials in part II, and the APFT and height and weight data in part IV, block a. This action increases administrative accuracy of the DA Form 67-10-4 since the rated officer is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated officer based on inaccurate administrative data. Any administrative errors noted by the rated officer will be brought to the attention of the rating officials and corrected prior to their signature.

Note. On DA Form 67-10-4s for APMC-managed AMEDD officers who do not complete AT/ECT, block d will be left blank; these officers will not sign the completed DA Form 67-10-4 prior to submission to HQDA using EES in accordance with AR 623–3.

Table 2–20
Authentication for DA Form 67–10–4—Continued

- If the rated officer is physically unavailable to sign the DA Form 67-10-4 (and the DA Form 67-10-4 cannot be forwarded to him or her to sign), is unable to sign the DA Form 67-10-4 digitally or manually, or refuses to sign the DA Form 67-10-4 for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the electronic form within the EES, the senior rater will check the appropriate response to the question "Is the rated officer available for signature?" or the comment "Rated Soldier refused to sign." The applicable statement will be entered in part V, ("The rated officer was unavailable for signature" and/or "The rated officer refused to sign").

Note. If the rated officer's signature is left blank in part II, block d, and the Wizard application, of electronic form within the EES is not used to enter the appropriate statement, the EES may not allow the DA Form 67-10-4 to be submitted. DA Form 67-10-4s stating that the officer cannot sign due to CAC issues will not be processed.

- If the DA Form 67-10-4 is adverse or contains derogatory information concerning the rated officer, it must be referred to the rated officer before he or she signs the DA Form 67-10-4.

Note. Using the electronic form within the EES will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67-10-4.

Reference: None

2–23. Part III, duty description

Part III provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct.

Note. The duty description on the DA Form 67–10–1A can be automatically populated to the DA Form 67-10-4 on the electronic form within the EES (if DA Form 67-10-1A was utilized).

Table 2–21
Duty description for DA Form 67–10–4

DA Form 67-10-4, part III: block a—Principal Duty Title

Action required: Match principal duty title with unit force structure documents or a principal duty title that describes duties performed; should be the same as the duty title found on the DA Form 4037 (ORB).

Note. On DA Form 67-10-4s for all AMEDD officers attached or assigned to the APMC, the principal duty title will be "APMC–Managed Officer."

Reference: None

DA Form 67-10-4, part III: block b—Position area of concentration AOC Code/Branch

Action required: For commissioned officers, this entry will contain, as a minimum, the first five characters of the position requirements code (such as 42B00); seven characters if an ASI is needed; or nine characters if a language identification code is required; should be the same position code as on the DA Form 4037 (ORB).

Reference: None

DA Form 67-10-4, part III: block c—Significant Duties and Responsibilities

Action required: State the officer's significant duties and responsibilities, written in a succinct narrative (not bullet) format, using the present tense to identify what the rated officer is supposed to do or be responsible for in his or her duty position. Unless changes occurred during the rating period, the duty description on the DA Form 67-10-4 should be the same as the one on the DA Form 67–10–1A (or equivalent if not used). The rater will describe in detail the rated officer's duties and responsibilities, the number of personnel supervised, amount of resources under the rated officer's control, and scope of responsibilities. Descriptions must be clear and concise with emphasis on specific functions required of the rated officer. The rater should also note conditions unique to the assignment. For example, RA officers who are assigned to full-time support duties with RC units or USAR officers assigned to RA units often perform unique functions in that duty. In order to ensure that due consideration is given to these factors, the duty description should note these conditions. As a minimum, the duty description will include principal duties and significant additional duties. When an officer is serving under dual supervision, the statement "Officer serving under dual supervision" will be entered as the first line of the duty description. The duty description will be jointly developed by the supervisors in each chain of command.

Reference: DA Pam 611–21

2–24. Part IV, performance evaluation-professionalism, competencies, and attributes

Part IV provides an assessment of a rated officer's professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army officer. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how an individual behaves in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of

character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are a critical attributes that define a leaders character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective Officer Corps. Attributes and Core Leader Competencies are on the DA Form 67-10 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all officers. See table 2-22 for DA Form 67-10-4 attributes and competencies instructions.

Table 2-22
Performance evaluation—professionalism and Army Values for DA Form 67-10-4

DA Form 67-10-4, part IV: block a—APFT

Action required: In the spaces after APFT, the rater will enter “PASS” or “FAIL” and the date (YYYYMMDD) of the most recent record APFT administered by the unit within the 12-month period prior to the “THRU” date of the DA Form 67-10-4; however, the APFT date does not always have to be within the period covered on the DA Form 67-10-4. If the rated officer was unable to take a record APFT (due to a profile or pregnancy), the status at that time will be documented, appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

- For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter “PASS” or “FAIL” for the alternate APFT as prescribed by health care personnel. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the Soldier’s profile is required.
- For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason why it has been left blank.
- Soldiers with temporary profiles at the time of the unit’s record APFT will enter “PROFILE” and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the “THRU” date of the DA Form 67-10-4.
- Sample entries are “PASS 20100414,” “FAIL 20100507,” or “PROFILE 20100302.” APFT numerical scores will not be entered.
- The rater will address a “FAIL” entry for APFT in the narrative space provided in part IV, block a. Comments on “FAIL” entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards (see AR 350-1).
- A comment on “PROFILE” entries will be made only if the rated officer’s ability to perform his or her assigned duties is affected. The rater will explain the absence of an APFT entry in part IV, block a. If the APFT has not been taken within 12 months of the “THRU” date of the DA Form 67-10-4, the APFT data entry will be left blank. In accordance with AR 40-501, an APFT is not required for pregnant officers.
- For pregnant officers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the rater will enter the following statement in part IV, block a: “Exempt from APFT requirement in accordance with AR 40-501.”
Note. When using the electronic form within the EES, the APFT and height and weight statement will be combined.
- In accordance with AR 350-1, officers 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile unless a current profile exists.
- Additionally, officers 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600-9. If no APFT is taken, leave the APFT entry blank and make the following comment in part IV, block a addressing the blank APFT entry: “Officer exempt from APFT requirement in accordance with AR 350-1.”
- Deployed units unable to administer the APFT due to mission or conditions will annotate DA Form 67-10-4s in the provided comment field with the following statement: “Officer was unable to take the APFT during this period due to deployment for combat operations/ contingency operations.” In accordance with AR 350-1, upon return from deployment officers will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG officers.
Note. Officers are not exempted from complying with height and weight requirements of AR 600-9.

Reference: AR 350-1, AR 40-501, and AR 600-9

DA Form 67-10-4, part IV: block a (continued)—Height and Weight

Action required: In the spaces after “HEIGHT” and “WEIGHT” the rater will enter the rated officer’s height and weight, respectively, as of the unit’s last record weigh-in. If there is no unit weigh-in during the period covered by the DA Form 67-10-4, the rater will enter the officer’s height and weight as of the “THRU” date of the DA Form 67-10-4. An entry of “YES” or “NO” will also be placed in the space next to the weight to indicate compliance or noncompliance with AR 600-9. Sample entries are “HEIGHT: 72, WEIGHT: 180 YES”; “HEIGHT: 71, WEIGHT: 225 NO;” or “HEIGHT: 73, WEIGHT: 215 YES.”

- For officers 60 years of age and older who must remain in compliance with height and weight standards, the height and weight entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- For an officer who exceeds the screening table weight, a “YES “ entry may only be entered after a body composition measurement has been completed and found to be within body composition standards, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600-9 in part IV, block a. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO “entry is still required because medical waivers to weight control standards are not permitted for DA Form 67-10-4 purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant officers, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600-9.”
Note. When using the electronic form within the EES the APFT and height and weight statement will be combined.
- Rating officials will not use the word “pregnant” nor refer to an officer’s pregnancy in any manner when completing the DA Form 67-10-4.

Table 2–22**Performance evaluation—professionalism and Army Values for DA Form 67–10–4—Continued**

- For rated officers with major limb loss, the entire entry is left blank. The rater will enter the following statement in part IV, block a: “Exempt from weight control standards of AR 600-9.” Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the DA Form 67-10-4.
- For rated officers having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in part IV, block a “Rated officer has a DCS, G–1 waiver of compliance with AR 600–9.” In such cases, a copy of the DCS, G–1 approval memo will be submitted as an enclosure to the DA Form 67-10-4.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the officer is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600–9

DA Form 67-10-4, part IV: block b—Comments on Character and Potential (as related to Attributes and Competencies)

Action required: The rater must quantitatively and qualitatively paint a word picture using short concise narrative format capturing the rated officer’s performance and potential as it relates to the Leadership Requirements Model outlined in ADRP 6-22, which conveys expectations for Army leaders, for the rated officer’s duty position.

Comments on character, performance and potential are mandatory.

“Character” encompasses elements internal and central to a leader’s core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Rating officials will comment on how well the rated officer promoted a climate of dignity and respect and adhered to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated officer made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated officer to foster a climate of dignity and respect and adhere to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated officer—

1. Committed an act of sexual harassment or sexual assault.
2. Failed to report a sexual harassment or sexual assault;
3. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

Performance comments should address key items mentioned in the duty description in part III and, as appropriate, of the duty description, objectives, and contributions portions of the DA Form 67-10-1A (or equivalent) as they relate to the Leadership Requirements Model.

Potential comments should compare the potential of the rated officer with his or her contemporaries during the evaluation period (see AR 623–3). Potential comments should primarily focus on the rated officer’s potential for promotion, command, schooling (military and civilian), strategic assignments, successive duty assignments and level of assignments, and/or retention, when applicable.

In cases when the rater is also serving as the senior rater, he or she will complete the rater’s portion of the DA Form 67-10-4 part IV, block a. Comments will be entered to cite the authority for the rating official to act as both rater and senior rater within part IV, block b. (Appropriate comments for part IV, block b include “Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19 (or para 2–20, as appropriate)” or “Serving as rater and senior rater in accordance with the CG, HRC exception to policy.”). The senior rater will sign the DA Form 67-10-4 in both the senior rater’s and the rater’s signature blocks.

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and DA civilians make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Comments, when provided, will refer to a specific value and be included in the narrative (for example, “A solid, trustworthy officer whose integrity is beyond reproach.”). A list of Army Values and their definitions follow (a more detailed explanation can be found in ADRP 6-22).

1. *Loyalty:* Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. *Duty:* Fulfills obligations (professional, legal, and moral).
3. *Respect:* Treats people as they should be treated.
4. *Selfless service:* Puts the welfare of the Nation, the Army, and subordinates priorities before self.
5. *Honor:* Adheres to the Army’s publicly declared code of values.
6. *Integrity:* Does what is right, legally and morally.
7. *Personal courage:* Faces fear, danger, or adversity (physical and moral).

Table 2–22

Performance evaluation—professionalism and Army Values for DA Form 67–10–4—Continued

Empathy: The ability to see something from another person's point of view, to identify with, and enter into another person's feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person's situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier's selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army's heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one's own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization's key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Presence – Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader's outward appearance, demeanor, actions, and words. Presence incorporates a leader's effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Intellect – Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities.

Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Expertise: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Leads – Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. Organizational and strategic leaders guide their organizations using indirect means of influence.

Extends influence beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Table 2-22
Performance evaluation—professionalism and Army Values for DA Form 67-10-4—Continued

Leads by example: Living by the Army Values and the Warrior Ethos best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Develops – Developing people and the organization with a long-term perspective requires leaders who:

Create a positive environment that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.

Seek self-improvement. To master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.

Invest adequate time and effort to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.

Act as stewards of the profession, making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.

Achieves – Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals allows for accomplishing missions consistently and ethically.

Reference: ADRP 6-22

2-25. Part V, senior rater

a. Part V is the senior rater's assessment of the rated officer's potential. Part V is intended to capitalize on the senior rater's additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated officer's DA Form 67-10-1A (or equivalent) is intended to assist the senior rater and supplement more traditional means of evaluation, such as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated officer, he or she must meet the minimum requirements that are set forth in AR 623-3. In evaluating the whole officer, the senior rater makes an assessment of the officer's potential for promotion to the next higher grade when compared with other officers.

Table 2-23
Senior rater for DA Form 67-10-4

DA Form 67-10-4, part V: — Comments on Character and Potential (as related to Attributes and Competencies)

Action required: Narrative comments by the senior rater on rated officer's potential are mandatory. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph.

— When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated officer, they will enter the following statement in part V: "I am unable to evaluate the rated officer because I have not been the senior rater for the required number of days." In these cases, other entries in part V will be left blank.

Note. Senior raters will use the electronic form within the Evaluation Entry System to automatically enter the appropriate statement in the DA Form 67-10-4, part V, if they are unable to evaluate the rated officer. On DA Form 67-10-4s for AMEDD officers attached or assigned to the APMC who do not complete AT or ECT, the Commander, APMC will enter the statement that he or she is unable to evaluate the rated officer, using the electronic form within the EES. All other entries in part V will be blank.

— The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated officer's potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments, and level of assignments, and/or retention, when applicable.

— Anything unusual about the DA Form 67-10-4 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated officer's signature; signatures are out of sequence on the DA Form 67-10-4; changes in an evaluation resulting from rated officer comments; and that multiple referral attempts have been made to the rated officer).

Table 2–23
Senior rater for DA Form 67–10–4—Continued

- Senior raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that a rated officer: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
Note. If the rated officer is physically unavailable to sign (and cannot have it forwarded to them to sign), unable to sign, or refuses to sign the DA Form 67-10-4, for any reason, the senior rater will either resolve the problem or use the electronic form within the EES to automatically enter the appropriate statement explaining why the rated officer's signature is left blank in part II, block d. Otherwise, the EES may not allow the DA Form 67-10-4 to be submitted. An DA Form 67-10-4 stating that the officer cannot sign due to CAC issues is unacceptable and such DA Form 67-10-4s will not be processed. The DA Form 67-10-4 will not be delayed because it lacks the rated officer's signature.
- If the senior rater's evaluation is based on infrequent observation of the rated officer, this fact should be noted.
- In cases when the senior rater is also serving as the rater, he or she will complete parts IV, block a in the rater's portion of the DA Form 67-10-4. Part IV, block b "Comments on Character & Potential" will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block b section include "Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19 (or para 2–20, as appropriate)" or "Serving as rater and senior rater in accordance with the CG, HRC, exception to policy." when applicable.) As an option, the senior rater may add additional comments addressing the performance and potential of the rated officer within part IV, block b. The senior rater will sign the DA Form 67-10-4 in both the senior rater's and the rater's signature blocks.

Reference: None

Section VII

Rater and Senior Rater Profile Reports for Officer Evaluation Reporting System

2–26. "Rater Profile" report, Officer Evaluation Reporting System, and Headquarters, Department of the Army electronically generated label (Company and Field Grade Plates)

The "Rater Profile" report provides statistical information on a rater's assessments of officers, by rank, sequenced in the order of receipt at HQDA. It includes data on officers of all components (RA, USAR, and ARNG). To access the "Rater Profile" report log in to the Evaluation Entry System Web site at: <https://evaluations.hrc.army.mil> and select "Evaluation Status and Management Tools (ERS)" button.

Note: Rated NCOs will not appear on the "Rater Profile" report, NCOs will appear on the "Rater Tendency" report; NCOs are not considered in the statistical data of the "Rater Profile" report.

a. The "Rater Profile" report, created by the application that processes OERs, maintains the data for rater OER profiles. The Rater Profile Report shows rated officers' names, sorted by rank, in the sequence of OER receipt date. Information from all HQDA-accepted OERs rendered by a rater is compiled in the "Rater Profile" report by name and by rank. The rank in which a promotable rated officer or warrant officer will be profiled is determined by the rank entered in part I, block c of the OER. The information from this profile is reflected on individual OERs on the HQDA electronically generated label.

b. The HQDA electronically generated label overlays the rater performance box check in part IV on the OER and compares the rater's box check in part IV with his or her profile at the time the rater selects "Lock" regarding his or her assessment selection to the OER, which is then verified at the time the OER processes at HQDA. When the OER cannot be CAC initialed, the OER compares the rater's box check in part IV with his or her profile at the time the OER processes at HQDA. This comparison generates a label that will contain one of the following statements:

Note: Once a rater indicates an assessment and the assessment is then "Locked", it is not able to be changed or altered. Change requests to "Locked" assessments prior to report submission to HRC requires a memorandum request, from the rater's senior rater, to be submitted to Human Resources Command for approval and action.

(1) "EXCELS." The number of ratings in the first box must be less than 50 percent of all ratings in the profile for that rank.

(2) "PROFICIENT": A rating in the second box regardless of the profile or a rating in the first box when 50 percent or more of all ratings in the profile for that grade are in the first box.

(3) "CAPABLE": A rating in the third box regardless of the "Rater Profile" report.

(4) "UNSATISFACTORY": A rating in the fourth box regardless of the "Rater Profile" report.

(5) "NOT EVALUATED": The rater does not meet minimum rating qualifications.

(6) "NO BOX CHECK": A rating assessment not required for a selected grade/rank.

c. The label will also contain the rated officer's and rater's, names, and SSNs; the date the report was received at HQDA; total ratings by the rater for those rated in the same grade; and the number of times the rated officer has been rated by this rater, which helps to identify raters with small rating populations.

d. Raters must personally monitor the submission of OERs to HQDA to ensure they are submitted in the desired sequence. Improperly sequenced OERs are not a basis for an appeal.

e. Raters will have one profile with data for all officers rated (RA, USAR, and ARNG).

2-27. “Senior Rater Profile” report, Officer Evaluation Reporting System, and Headquarters, Department of the Army electronically generated label

The “Senior Rater Profile” report provides statistical information on a senior rater’s assessments of officers and NCOs, by rank, sequenced in the order of receipt at HQDA. It includes data on officers and NCOs of all components (RA, USAR, and ARNG). To access the “Senior Rater Profile” report log in to the EES Web site at: <https://evaluations.hrc.army.mil> and select “Evaluation Status and Management Tools (ERS)” button.

Note: A senior rater profile report lists data for both officers and NCOs of all components (RA, USAR, and ARNG). This paragraph is specific for content associated with the officer evaluation reporting system. Content specific to noncommissioned officers is discussed in chapter 3. The “Senior Rater Profile” report, created by the application that processes OERs and maintains the data for senior rater OER profiles, shows rated officers’ names, sorted by rank, in the sequence of OER receipt date. Information from all HQDA-accepted OERs rendered by a senior rater is compiled in the “Senior Rater Profile” report by name and by rank. The rank in which a promotable rated officer or warrant officer will be profiled is determined by the rank entered in part I, block c of the OER. The information from this profile is reflected on individual reports on the HQDA electronically generated label.

a. The senior rater evaluation timeliness report is a section of the “Senior Rater Profile” report and consists of two parts. The first part compiles statistical information on evaluation report submissions, separated by rank, and displays the total number of reports submitted, the total number of OERs and NCOERs submitted on time, and the percentage of reports submitted on time. The second part, consisting of additional pages as necessary, displays administrative information on the specific OERs and NCOERs that were not submitted on time.

b. The HQDA electronically generated label overlays the senior rater potential box check, part VI, block a on the OER and compares the senior rater’s box check in part VI, block a with their profile at the time the OER processes at HQDA. This comparison generates a label that will contain one of the following statements:

(1) “MOST QUALIFIED”: The number of ratings in the first box must be less than 50 percent of all ratings in the profile for that rank.

(2) “HIGHLY QUALIFIED”: A rating in the second box regardless of the profile or a rating in the first box when 50 percent or more of all ratings in the profile for that grade are in the first box.

(3) “QUALIFIED”: A rating in the third box regardless of the “Senior Rater Profile” report.

(4) “NOT QUALIFIED”: A rating in the fourth box regardless of the “Senior Rater Profile” report.

(5) “NOT EVALUATED”: The senior rater does not meet minimum rating qualifications.

(6) “NO BOX CHECK”: A rating assessment not required for a selected grade/rank.

(7) “GENERAL OFFICER”: The rated officer is a general officer.

(8) “MULTI-STAR POTENTIAL”: The number of ratings in the first box cannot exceed 24 percent of all ratings in the profile for that rank.

(9) “PROMOTE TO BG”: A rating in the second box with the number of ratings in the first box combined with the number of ratings in the second box less than 50 percent of all ratings in the profile for that rank. A rating in the first box when all ratings in the profile for that grade exceed 24 percent and the first box combined with the number of ratings in the second box is less than 50 percent of all ratings in the profile for that rank.

(10) “RETAIN AS COLONEL”: A rating in the third box regardless of the profile or a rating in the first box when more than 24 percent of all ratings in the profile for that grade are in the first box and/or the first box combined with the number of ratings in the second box is not less than 50 percent of all ratings in the profile for that rank.

(11) “UNSATISFACTORY”: A rating in the fourth box regardless of the “Senior Rater Profile” report.

c. The label will also contain the rated officer’s and senior rater’s ranks, names, and SSNs; the date the OER was received at HQDA; total ratings by the senior rater for those rated in the same grade; and the number of times the rated officer has been rated by this senior rater, which helps to identify senior raters with small rating populations.

d. Senior raters must personally monitor the submission of OERs to HQDA to ensure they are submitted in the desired sequence. Improperly sequenced OERs are not a basis for an appeal.

e. Senior raters will have one profile with data for all officers and NCOs senior-rated (RA, USAR, and ARNG).

Section VIII

Referred Reports, Relief for Cause Reports and Addendum Procedures

2-28. Referral process

a. If a referral of an OER is required (see AR 623-3), the senior rater will place an “X” in the appropriate box in part II, block d (or part II, block c for DA Form 67-10-4s) on the completed OER (for example, when the senior rater has signed and dated the completed OER). The OER will then be given to the rated officer for signature and placement of an “X” in the appropriate box in part II, block d (or block c, as appropriate).

Note: While the rated officer may refuse to sign a referred OER, the rated officer must check either the “YES” or “NO” box to indicate whether or not comments will be provided.

b. The rated officer may comment if they believe that the rating and/or remarks are incorrect. The comments must be factual, concise, and limited to matters directly related to the evaluation rendered on the OER; rating officials may not rebut rated officer’s referral comments. Enclosures or attachments that contain extraneous or voluminous material or items already contained within the officer’s file are not normally in the rated officer’s best interest; therefore, they should be avoided. Any enclosures or attachments to rebuttal comments will be withdrawn and returned to the rated officer when the OER is forwarded to HQDA.

c. The rated officer’s comments do not constitute an appeal. Appeals are processed separately, as outlined in chapter 6. Likewise, the rated officer’s comments do not constitute a request for a commander’s inquiry. Such a request must be submitted separately (see AR 623–3).

d. If the senior rater decides that the comments provide significant new facts about the rated officer’s performance and that they could affect the rated officer’s evaluation, they may refer them to the other rating officials. They, in turn, may reconsider their individual evaluations. The senior rater will not pressure or influence the other rating officials to change their evaluations. Any rating official who elects to raise his or her evaluation of the rated officer as a result of this action may do so. However, the evaluation may not be lowered because of the rated officer’s comments. If the OER is changed but still requires referral, the OER must again be referred to the rated officer for acknowledgment and new comments. Only the latest acknowledgment and comments (if submitted) will be forwarded to HQDA with the completed OER.

e. If the rated officer is unavailable to sign the OER for any reason or cannot be contacted and a written referral is required (referral process for OERs is in AR 623–3) the following procedure must be followed:

(1) The senior rater will refer, in writing, a copy of the completed OER (signed and dated by all rating officials) to the rated officer for acknowledgment and comment. (See fig 2–6 for a sample referral memorandum and fig 2–7 for a sample acknowledgment memorandum.)

Note: A referral memorandum is provided under enclosures the electronic form within the EES. This will be done even if the rated officer has departed due to PCS, retirement, or release from active duty (REFRAD). A reasonable suspense date should be given for the rated officer to complete this action. In this referral, the rated officer will be advised that his or her comments do not constitute an appeal or request for a commander’s or commandant’s inquiry.

(2) Upon receipt of the rated officer’s acknowledgment, the senior rater will include it with an original or a signed copy of the referral letter to the original OER and forward it to—

(a) The supplementary reviewer, if appropriate.

(b) The battalion (BN) and/or brigade (BDE) adjutant (S1), administrative section, or HQDA, as appropriate.

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

1. If the rated officer fails to respond within the suspense period, the senior rater will include a signed copy of the referral to the original OER and indicate either on the original referral memorandum or a second document that the rated officer failed to complete his or her acknowledgment. The senior rater will then send it to the reviewer. Reviewers will complete administrative review and forward to BN and/or BDE S1, administrative section, or HQDA, as appropriate.

2. Senior raters will, when possible, refer OERs to the rated officer prior to his or her departure.

3. A rated officer is responsible for leaving a current forwarding address or email address when he or she departs a unit. Mailing a referred OER by certified mail to an officer’s last disclosed mailing address is sufficient to constitute constructive service of a referred OER. If an OER sent by certified mail to an officer’s last known forwarding address is returned, indicating that the officer may not be reached at that address, the senior rater will attach a signed copy of the referral to the original report and indicate either on the original referral or a second attachment that the rated officer failed to complete his or her acknowledgment. The senior rater will then send it to the reviewer, BN and/or BDE S1, administrative section, or HQDA, as appropriate.



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Rated Officer's Name and Address)

SUBJECT: Officer Evaluation Report (OER) Referral for (Rated Officer's Name, Rank, SSN, Report Period Covered)

1. Under the provisions of AR 623-3, Evaluation Reporting System, paragraph (cite the appropriate reference), and DA Pam 623-3, Evaluation Reporting System, (cite the appropriate reference), the enclosed copy of your DA Form 67-10 series OER, for the period ("From Date" of evaluation) through ("Thru Date" of evaluation) is referred to you for acknowledgement. The specific reason for referral is (cite reason(s) found in AR 623-3).

2. You must acknowledge receipt of the enclosed copy of your OER and you may make comments, if desired. Any comments submitted must be factual, concise, and limited to matters directly related to the evaluation on the referred report. Enclosures to any comments you provide are not authorized and will be withdrawn prior to forwarding the report, referral, acknowledgement, and comments (if any) to HQDA.

3. Should you elect to submit comments with your acknowledgement, you are advised that they will not constitute a request for a Commander's Inquiry or evaluation report appeal. Such requests must be submitted separately under the provisions of AR 623-3, chapter 4.

4. Acknowledge receipt of the referred OER and submit any desired comments to me, in accordance with the above indicated suspense date.

Encl
as

(Signature block of the senior rater)

Notes:

1. The electronic DA Form 67-10 series OER in the Evaluation Entry System application has a pre-prepared format for a referral 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 to the rated officer as an enclosure to the completed OER during the referral process.

2. Acceptable forms of acknowledgment include: signed OER, email, signed certified mail document, signed acknowledgement memorandum, signed comments, etc.

Figure 2-6. Sample format for referral memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR *(Senior Rater's Name and Address)*

SUBJECT: Acknowledgement of Receipt of OER/AER Referral Memorandum

1. I have read and acknowledged the OER/AER referral memorandum, which I received on (enter date).

2. I acknowledge that I have the opportunity to respond by submitting comments on my behalf in defense, extenuation, or mitigation of the evaluation. I further understand that my comments, if submitted, do not constitute a request for a Commander's/Commandant's Inquiry or evaluation report appeal. If I choose to submit written comments, I understand that I must submit them by the stated suspense date.

3. I elect:

Not to submit comments on my behalf.

To submit written comments by the stated suspense date. I understand that if I select this option, but do not submit written comments by the suspense date, I may waive my right to respond.

(Signature block and address of rate officer, if different than address on letterhead)

Figure 2-7. Sample format for acknowledgment memorandum

2-29. "Relief for Cause" officer evaluation report instructions

If a rated officer or warrant officer is officially relieved (see AR 623-3), the following specific instructions apply to completing a "Relief for Cause" OER:

a. DA Form 67-10-1 and DA Form 67-10-2 (Company and Field Grade Plate forms).

(1) The performance evaluation box check in part IV of the OER must reflect "UNSATISFACTORY" or "CAPABLE." An "UNSATISFACTORY" recommendation is consistent with relief action and does not need further explanation. However, raters who select "CAPABLE" must explain their recommendation and reasons in view of the action to relieve.

(2) The senior rater's potential evaluation in part VI, block a, of DA Form 67-10 series must reflect "NOT QUALIFIED" or "QUALIFIED." A "NOT QUALIFIED" recommendation by the senior rater in part VI, block a, is consistent with a relief action and does not need further explanation. However, senior raters who select "QUALIFIED" must explain their recommendation and reasons in view of the action to relieve.

b. DA Form 67-10-3 (Strategic Grade Plate forms). The senior rater's potential evaluation box check in part VI, block a of the DA Form 67-10-3 must reflect "UNSATISFACTORY" or "RETAIN AS COLONEL." A "UNSATISFACTORY" recommendation by the senior rater is consistent with relief action and does not need further explanation. However, senior raters who select "RETAIN AS COLONEL" must explain their recommendation and reasons in view of the action to relieve. The rating restriction in paragraphs a and b, does not apply to a rating official who has not directed the relief and does not agree with the relief. However, they must state their nonconcurrence in the comments portion of the OER. The OER will identify the rating official who directed the relief. This official will clearly explain the reason for relief in their narrative portion of the OER. If the relief is directed by someone not in the designated rating chain, the official directing the relief will describe the reasons for the relief in an enclosure to the OER. See a sample "Relief for Cause" directed by a nonrating official memorandum in figure 2-8. Additionally, if the relief was directed by the senior rater or an individual other than their rating officials, the OER will be reviewed by the first Army officer in the organization or chain of supervision above the individual directing the relief. The reviewing official's information will be annotated on the completed DA Form 67-10-1, DA Form 67-10-2, and DA Form 67-10-3 in part II, blocks f. Should the reviewing official provide comments, the reviewing official will select "YES" in block f7 and attach comments. For DA Form 67-10-4s that require supplementary review, a memorandum will need to be prepared and attached to the completed evaluation. See a sample supplementary review for "Relief for Cause" memorandum in figure 2-9.

Note: These documents are provided under the enclosure tab of the electronic OER (Wizard application associated with the electronic form within the EES).



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

(Office Symbol)

(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 *(cite the appropriate reference for OER or NCOER)*, and AR 600-20, paragraph 2-17, I am relieving you of command/your duties as *(duty title/position)* *(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 2-8. Sample format "Relief for Cause" directed by a nonrating official memorandum



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 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 *(cite the appropriate reference)* as the principal source of guidance.

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

(Signature block of the reviewer)

Figure 2-9. Sample format supplementary review "Relief for Cause" memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Appropriate Agency – Appendix B)

SUBJECT: Request for issue of International officer rater identification number used for Army evaluation reports

1. Under the provisions of DA Pam 623-3, Evaluation Reporting System, requests the issuance of an international officer identification number used for Army evaluation reports for the following international officer who is serving in the capacity of a rater for a U.S. Army officer.

(Insert international officer rater's complete name, rank, country, duration of report period covered, contact information to include valid email address).

2. The following individual will serve as the international officer rater's delegate. The identified delegate will provide required support and assistance to the international officer rater for evaluation matters:

(Insert the CAC enabled U.S Army Soldier/DA Civilian delegate's complete name, rank, contact information, duration to serve as the international officer rater's delegate, contact information to include valid email address).

3. Questions or concerns regarding this request may contact *(Be sure to include a telephone number, preferably DSN, and email address which you may be reached. Notify the addressee promptly if your address changes.)*

(Signature block with mailing address, if other than address on letterhead)

Figure 2-10. Sample format for request of an international rater identification number memorandum

2-30. Mandatory review of officer "Relief for Cause" officer evaluation reports

An additional review of "Relief for Cause" OERs is required following referral to the rated officer.

a. When an officer (commissioned or warrant) is officially relieved of duties and a "Relief for Cause" OER is subsequently prepared (see AR 623-3), the OER will be referred to the rated officer or warrant officer as described in the referral process in AR 623-3.

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

b. If the rater or intermediate rater directed the relief, the senior rater will perform the review, provided he or she is an Army officer or DA civilian when other rating officials are uniformed Army rating officials. Otherwise, the first U.S. Army officer, designated as the Uniformed Army Advisor in the organization or chain of supervision above the individual directing the relief will perform a supplementary review of the OER.

c. Reviewers of "Relief for Cause" OERs will—

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

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

(3) Ensure that the OER has been prepared as prescribed in AR 623–3 and this pamphlet.

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

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

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 is satisfied that the OER is clear, accurate, complete, and fully in accordance with the provisions of the regulation, they will continue to process the OER.

(2) If the senior rater finds that the OER is unclear, contains errors of fact, or is otherwise in violation of AR 623–3, they will return the OER 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 OER has been corrected, it will be returned to the senior rater.

(3) If the senior rater is not a U.S. Army officer, a DA civilian when other rating officials are uniformed Army rating officials, or if the relief was directed by the senior rater or an individual other than the rating officials, the OER will be reviewed by the first U.S. Army officer (Uniformed Army Advisor) in the organization or supervision above the individual directing the relief. This officer will perform the functions described in paragraphs 2–30c(1) through 2–30c(5). The senior rater (or other reviewer) will prepare and submit comments as an enclosure to the OER (as required). If there is not an Army officer or Uniformed Army Advisor in the chain of command or supervision above the person directing the relief, the OER will be forwarded (along with the appropriate request) to HQDA for review (address in app B).

(4) Changed "Relief for Cause" OERs will be referred, again, by the senior rater (or other reviewer), in accordance with the referral process in AR 623–3, to the rated officer so that the corrected OER may be acknowledged and comments can be provided, if desired. Only the final referral and acknowledgment are forwarded with the report to HQDA.

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

(6) If the corrected OER is not satisfactory to the senior rater (or other reviewer), or if the other rating officials disagree about the need for changes in the OER, the senior rater (or other reviewer) will indicate objections to the OER by adding a memorandum as an enclosure to the OER (see AR 623–3 for a sample supplementary review memorandum). When indicating objections, the senior rater (or other reviewer) is restricted to the requirements of reviewers of "Relief for Cause" OER (see AR 623–3).

2–31. Submitting an addendum to previously submitted officer evaluation reports

Rating officials will submit an addendum to a previously submitted OER when they become aware of new derogatory information that would have resulted in a lower evaluation of the rated officer. See chapter 6 of this publication, AR 623–3 (OER modifications, derogatory information, and the redress program) for guidance on the correction of OERs for other reasons.

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

b. The addendum will contain the rated officer's name, grade, SSN, and the period covered by the OER to which it applies (see para 5–3 for instructions). 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 commander will refer a copy of the addendum to the rated officer (OER) for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA (see address in app B).

Note: For ARNG Soldiers, the addendum will be forwarded to HQDA through the state adjutant general. No changes will be made to the original OER in the rated Soldier's AMHRR, but the addendum will be appended to the OER 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 commander's responsibility is only to coordinate the submission of the addendum. The commander 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 officer, they will so indicate. If the rated Soldier cannot be contacted for review, the commander 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 AR 623–3.

Section IX

Headquarters, Department of the Army DA Form 67–10 series Officer Evaluation Report Processing

2–32. How to make corrections to DA Form 67–10 series

a. OERs that have been received and accepted for processing at HQDA will be visible in the EES application when the receipt date is on or before the load date shown. OERs with administrative errors will be placed in an “ON HOLD - Returned to Field” or “PENDING” status, awaiting corrected OERs from the rating officials, BN and/or BDE S1, or administrative office. Examples, but not inclusive of administrative errors include inaccurate or overlapping “FROM” and “THRU” dates, incorrect reason for submission, missing APFT status or date, and missing or incorrect height and weight data.

b. Review the administrative notes in the EES that identify the error(s) contained within an OER. Following correction of these errors, the newly corrected OER will be re-submitted to HQDA using the EES.

Note: If corrections are made on paper copies of DA Form 67–10 series, mail the corrected OER to the address in appendix B.

c. If the administrative notes for an OER state that the senior rater needs to contact HQDA, he or she must do so expeditiously to avoid delays in processing the OER to the rated officer’s AMHRR.

2–33. Headquarters, Department of the Army rejection of DA Form 67–10 series

HQDA review of OERs may identify errors within the content of an OER. Such OERs will be indicated as “REJECTED” in the Evaluation Entry System or they will be returned to the sender’s EES inbox. OERs with the following errors will be rejected as invalid:

- a. Senior rater does not meet the minimum grade/rank requirements (see AR 623–3).
- b. Rating period does not meet minimum time requirements to render an OER (see AR 623–3).
- c. Period covered overlaps the dates of a previously submitted OER already in the officer’s AMHRR and fails to meet minimum rating requirements once the “FROM” date is corrected.
- d. Receipt date at HQDA is prior to the “THRU” date on the OER (see authentication of OERs in AR 623–3).
- e. “Complete the Record” OERs are not received in a timely manner in accordance with the military personnel (MILPER) message announcing an HQDA-level selection board (see AR 623–3).
- f. “Complete the Record” or “Promotion” OER is submitted or received for an officer who is ineligible for a specific selection board.
- g. OERs are sent from a previous system that is now obsolete (for example, DA Form 67–8).
- h. Subsequent OERs are submitted or received with the same “FROM” and “THRU” dates.
- i. Evaluations that are illegible or of poor quality.
- j. Faxed copies of OERs, which will be discarded without record of rejection in the EES.

Table 2–24
Codes and reasons for submitting DA Form 67–10 series

Code	Reason	Entered on OER
02	Annual report	“Annual”
03	Change of rater	“Change of Rater”
04	Change of duty (under the same rater), retirement, or discharge; REFRAD or reassignment to IRR Control Group (RC only)	“Change of Duty” “Retirement” “Discharge” “REFRAD” or “Reassignment” <i>Note. USAR only; for reassignment of USAR Soldiers to an IRR Control Group.</i>
05	Relief for cause	“Relief for Cause”
06	Depart on temporary duty (TDY), temporary change of station (TCS), or special duty (SD)	“Depart TDY/TCS/SD”
07	60-day optional report	“60 day Opt”
08	Senior rater optional report	“SR–Option”
09	Complete the record	“Complete Record”
10	Extended annual	“Extended Annual”
11	Rated officer failing selection for promotion	“Promotion”

Table 2–24
Codes and reasons for submitting DA Form 67–10 series—Continued

12	REFRAD status: AT, active duty for training (ADT), ADOS–RC, ADOS or CO–ADOS (RC only)	“REFRAT” “REFRADT” “REFRADOS–RC” “REFRADOS” “REFRCO–ADOS” <i>Note. Used for USAR and National Guard Bureau (NGB) OERs only.</i>
13	Rater optional report	“Rater Option”
14	Initial tour on extended active duty (ADOS) evaluation	“Initial”
16	Based on application for regular Army (RA) appointment	“RA Appt”
17	Submitted on officers participating in The Judge Advocate General’s Funded Legal Education Program or Excess Leave Program	“JAGC–OJT”
19	HRC directed	“AHRC Directed”
31	NGB directed	“NGB Directed”
32	NGB general officer nomination	“NGB GO Nomination”
33	Transfer from ARNG to another component	“Trans to Another Comp”
34	Transfer from ARNG to Retired Reserve	“Trans fm NG to Ret Res”
35	ARNG Soldier departure on ADT for more than 30 days	“NG DEP ADT (30 + days)”
36	ARNG departure on full-time training duty for more than 30 days	“NG DEP ADOS–RC (30 = days)”
37	Transfer to the inactive national guard (ING)	“Trans to ING”
43	USAR general officer nomination	“GO Nomination”
44	Release from temporary active duty	“RETAD”

Notes:

¹ Codes other than those indicated in this table may appear in the dropdown menu on electronic forms associated with the Wizard application within the EES.

² Use only the codes available in this table for processing OERs.

Table 2–25
Codes and reasons for nonrated periods for DA Form 67–10 series

Code	Reason
A	Absent without leave, desertion, and/or unsatisfactory participant (versus nonparticipant).
C	Confinement in military or civilian detention facility, assignment to military personnel.
D	Temporary disability retirement list.
E	Leave (30 or more consecutive days).
F	Under arrest.
G	Healing with duty (for Warrior Transition Unit (WTU) Soldiers with duties assigned at the discretion of the WTU commander; see AR 623–3 for special situations).
H	Healing (for WTU Soldiers performing their healing mission).
I	In transit between duty stations, including leave, permissive TDY, and TDY.
M	Missing in action.
P	Patient (under doctor’s care and unable to perform assigned duties; includes convalescent leave).
Q	Lack of rater qualification.
S	Student at military or civilian school.
T	On TDY, TCS, and/or SD less than 90 calendar days.
W	Prisoner of war.
X	Authorized absence for participation in special program.

Table 2–25
Codes and reasons for nonrated periods for DA Form 67–10 series—Continued

Z	None of the above.
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Notes:

¹ Codes other than those indicated in this table may appear in the drop-down menu on electronic forms associated with the Wizard application within the EES.

² Use only the codes available in this table for processing OERs.

Chapter 3

Noncommissioned Officer Evaluation Report Forms and Preparation

Section I

DA Form 2166–9–1A (NCO Evaluation Report Support Form)

3–1. Purpose and process for DA Form 2166–9–1A

a. Purpose. DA Form 2166–9–1A contributes to Armywide improved performance and professional development through increased emphasis on performance counseling and assures verified communication process throughout the rating period. It promotes a top-down emphasis on leadership communication, integrating rated NCOs participation in objective setting, performance counseling, and the evaluation process. At the beginning of the rating period, it enhances planning and relates performance to mission through rater and rated NCO Joint discussion of the duty description and major performance objectives. During the rating period, it requires performance counseling and encourages the best use of individual talent through continuous communication to update and revise the performance objectives, recording results of performance with the rated NCO. At the end of the rating period, it enables the rating chain in completing the NCOER, because the DA Form 2166–9–1A is forwarded through the rating chain as evaluations are rendered.

b. Process. DA Form 2166–9–1A use is mandatory for all NCOs, corporal (CPL) through command sergeant major (CSM); however, no NCOER is prepared for CPLs. Counseling sessions will be conducted at least quarterly for RA and AGR NCOs and at least semiannually for ARNG and USAR NCOs performing inactive duty training (IDT).

(1) Beginning of the rating period.

(a) Shortly after the rated NCO assumes his or her duties, the rater provides the rated NCO with a copy of their and the senior rater’s support form (DA Form 2166–9–1A or DA Form 67–10–1A, or equivalent and as applicable) along with the unit’s mission, valid rating chain, duty description, and specified goals and objectives. The rated NCO then drafts his or her DA Form 2166–9–1A (duty description (part III), performance goals and expectations (part IV), and major performance objectives (part V)).

Note: Always use the current version of form in accordance with paragraph 1–2. Using the Wizard application within the EES allows the automatic population for the rated NCO’s administrative data in part I of the electronic form based on the most current data from the authoritative database at HQDA. Auto-populated administrative data may be manually corrected, as needed. The use of SSNs on support forms is optional because these documents are used exclusively at the local level; however, full SSNs or DOD ID numbers for the rated NCO, the rater, and the senior rater are needed to create a DA Form 2166–9–1A within EES and assist in populating NCOERs directly from DA Form 2166–9–1A.

(b) Within the first 30 days of the rating period, effective date of lateral appointment to CPL, or promotion to sergeant (SGT), the rater will conduct the first counseling session with the rated NCO. Additionally, the rater will discuss and establish goals for the NCO to promote/support a healthy workplace environment conducive to the growth and development of personnel. The rater will also discuss and establish goals for supporting the EO and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP Program’s initiatives, reducing and eliminating sexual harassment and sexual assault in their unit within Part IV and Part Va.

(c) When the initial discussion is completed, the rated NCO and rater provide initials in part II of the DA Form 2166–9–1A, the date entered represents the date initial counseling occurred. The rater will then forward the form to the senior rater. The senior rater should have a face-to-face counseling session (or an alternative type of discussion) with the rated NCO. The intent is for the senior rater to counsel the NCO initially within the first 30 days followed by counseling at the midpoint for the evaluation period. The senior rater reviews as needed, comments in part VI, initials DA Form 2166–9–1A in part II and returns it to the rater. The rater will return the original DA Form 2166–9–1A to the rated NCO and will retain a copy for record.

Note: See AR 623–3 for USAR Soldiers. This initial counseling session is somewhat different from later counseling sessions in that the primary focus is on communicating performance standards to the rated NCO. It should specifically let the rated NCO know what is expected of them during the rating period. The rater shows the rated NCO the rating chain and a complete duty description, discusses the meaning of character and responsibilities identified on the NCOER, and explains the requirements for meeting Army and organizational standards. Before the rated NCO departs the counseling session, the rater will record key points that were discussed and obtain the rated NCO’s initials on DA

Form 2166-9-1A.

Note: Always use the current version of DA Form 2166-9-1A or DA Form 2166-9 series NCOER in accordance with paragraph 1-2. Using the Wizard application associated with the electronic form within the EES allows the rater to automatically enter the rated NCO's administrative data in part I of the DA Form 2166-9-1A or DA Form 2166-9 series NCOER based on the most current data from the authoritative database at HQDA. Auto-populated administrative data may be manually corrected, as needed. The use of SSNs on support forms is optional because these documents are used exclusively at the local level; however, full SSNs or DOD ID numbers for the rated NCO, and rating officials assist in populating NCOERs directly from the DA Form 2166-9-1A.

(2) *During the rating period.* The rated NCO uses the DA Form 2166-9-1A as a performance guide. The rater conducts periodic follow-up performance counseling with the rated NCO to make needed adjustments to performance objectives.

(a) The rater and rated NCO discuss and document significant contributions and accomplishments. Additionally, the rater and rated NCO discuss and document performance accomplishments as they relate to adherence to leadership attributes and demonstration of competencies in part V, blocks a. through f.

(b) The rater will discuss how well the NCO is promoting/supporting EO and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP Program's initiatives, reducing and eliminating sexual harassment and sexual assault within their unit in Part V, "CHARACTER."

(c) Upon completion of each periodic counseling session, the rated NCO and the rater initial and date DA Form 2166-9-1A in part II. The senior rater reviews, as needed, comments in part VI, initials DA Form 2166-9-1A in part II and returns it to the rater. The rater will return the original DA Form 2166-9-1A to the rated NCO and will retain a copy for record.

Note: These counseling sessions differ from the first counseling session in that the primary focus is on open communication, focusing on how well the rated NCO is performing. The rater will update the duty description and, based on significant contributions and accomplishments, discuss what was done well and what could be done better. The rater will also address how well the NCO is promoting/supporting a healthy workplace environment conducive to the growth and development of personnel; discuss and update how well the rated NCO supports the EO and EEO programs, fostering a climate of dignity and respect and supporting the SHARP Program's initiative, reducing and eliminating sexual harassment and sexual assault in their unit within Part V "CHARACTER". The guide for this discussion is standards met, exceeded, or not met established from the previous counseling session. Prior to the conclusion of the counseling session, the rater will record key points discussed and obtain the rated NCO's initials on DA Form 2166-9-1A.

(3) *End of the rating period.* At the end of the rating period, the rater completes a final DA Form 2166-9-1A by documenting how well the rated NCO accomplished major performance objectives during the rating period, focusing on the most significant objectives and documenting performance accomplishments as they relate to adherence to leadership attributes and demonstration of competencies made.

(a) Rated NCOs will not prepare their own final DA Form 2166-9-1A but may provide input to rating officials to assist them with completion of the final DA Form 2166-9-1A. The rater obtains the current required version of the electronic NCOER and uses the DA Form 2166-9-1A as input in preparing his or her evaluation of the rated NCO. The rater includes the duty description from the rated NCO's final DA Forms 2166-9-1A and may use information from this form as input when completing the NCOER, the choice of what to enter on the NCOER is ultimately up to the rater.

(b) The rater is responsible for completing parts I, II, III, and IV of the final NCOER including, APFT performance entry and date, the height and weight entry including verification of compliance of AR 600-9 in part IV, block a and b (or an explanation of missing APFT and/or height and weight entries) See AR 623-3. The rater then forwards the completed DA Form 2166-9-1A and the NCOER to the senior rater. The senior rater reviews the final DA Form 2166-9-1A as NCOER input and returns the original DA Form 2166-9-1A to rated NCO. See figure 3-1 for a sample of DA Form 2166-9-1A.

Note: The electronic version of DA Form 2166-9-1A within the EES may be used to create a draft NCOER allowing portions of DA Form 2166-9-1A data to auto populate onto the draft NCOER.

Note: Additional attachments to DA Form 2166-9-1A may be used, when required.

(c) The rater will maintain one DA Form 2166-9-1A for each rated NCO until after the NCOER for the rating period has been approved and submitted to the evaluations branch, HRC. For CPLs who do not receive an NCOER, the DA Form 2166-9-1A will be maintained for 1 year. There is no regulatory requirement to keep DA Form 2166-9-1A beyond this time; however, maintaining this form on a case-by-case basis for possible future use to support personnel actions may be appropriate.

HQDA#				NCO EVALUATION REPORT SUPPORT FORM For use of this form, see AR 623-3; the proponent agency is DCS, G-1.				SEE PRIVACY ACT STATEMENT IN AR 623-3				
PART I - ADMINISTRATIVE DATA												
a. NAME (Last, First, Middle Initial) THOMAS, DAVID, M.			b. SSN (or DOD ID No.) 111111111		c. RANK MSG		d. DATE OF RANK 20140201		e. PMOSC 92Y52SG10			
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND HHC, SPT BN, 13th COSCOM, Ft. Hood, TX, 76544, III Corps					g. UIC WASH26		h. RATED NCO'S EMAIL ADDRESS (.gov or .mil) david.thomas.mil@mail.mil					
i. SSD AND NCOES REQUIREMENT MET FOR NEXT GRADE OR NOMINATIVE/JOINT ASSIGNMENT? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO						MEL: SLC			SSD: SSD IV			
PART II - AUTHENTICATION												
a1. NAME OF RATER (Last, First, Middle Initial) BANKS, KATHERINE				a2. SSN (or DOD ID No.) 555555555		INITIAL DATE (YYYYMMDD) YYYYMMDD		LATER DATE (YYYYMMDD) YYYYMMDD		LATER DATE (YYYYMMDD) YYYYMMDD		
a3. RANK CPT			PMOSC/BRANCH AG		ORGANIZATION Army Contracting Agency			DUTY ASSIGNMENT Battalion Commander			a4. RATER'S EMAIL ADDRESS (.gov or .mil) katherine.banks215.mil@mail.mil	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) JONES, WILLIAM A.				b2. SSN (or DOD ID No.) 666666666		INITIAL DATE (YYYYMMDD) YYYYMMDD		LATER DATE (YYYYMMDD) YYYYMMDD				
b3. RANK LTC			PMOSC/BRANCH AG		ORGANIZATION Army Contracting Agency			DUTY ASSIGNMENT Acting Director			b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) william.jones567.civ@mail.mil	
c1. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial) SEMELSKI, REGINA				c2. SSN (or DOD ID No.) 777777777								
c3. RANK COL			PMOSC/BRANCH AG		ORGANIZATION Army Contracting Agency			DUTY ASSIGNMENT Brigade Commander			c4. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil) regina.semelski456.mil@mail.mil	
d. RATED NCO'S INITIALS INT						INITIAL DATE (YYYYMMDD) YYYYMMDD		LATER DATE (YYYYMMDD) YYYYMMDD		LATER DATE (YYYYMMDD) YYYYMMDD		
PART III - DUTY DESCRIPTION (Rater)												
a. PRINCIPAL DUTY TITLE Contracting Command NCOIC						b. DUTY MOSC 92Y50G1						
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars) (See DA Pam 623-3, para 3-1)												
d. AREAS OF SPECIAL EMPHASIS (See DA Pam 623-3, para 3-1)												
e. APPOINTED DUTIES (See DA Pam 623-3, para 3-1)												
PART IV - PERFORMANCE GOALS AND EXPECTATIONS (Rated NCO)												
INDICATE YOUR PERFORMANCE GOALS AND EXPECTATIONS DURING THIS RATING PERIOD: (See DA Pam 623-3, para 3-1)												
DA FORM 2166-9-1A, NOV 2015						Page 1 of 4 APD LC v1.00ES						

Figure 3-1. Example of DA Form 2166-9-1A (page 1)

HQDA#:	
PART V - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)	
a. CHARACTER: (Army Values, Empathy, Warriors Ethos/Service Ethos, Discipline. Fully supports SHARP, EO, and EEO.)	
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
b. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience)	
APFT GOALS: PU: <u>81</u> SU: <u>78</u> RUN: <u>13:20</u> HTWT: _____ (ONLY AS NEEDED)	CURRENT RECORD APFT: a. APFT Pass/Fail/Profile: <u>PASS</u> Date: <u>20151110</u> b. Height: <u>72</u> Weight: <u>182</u> Within Standard? <u>YES</u>
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
c. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, Expertise)	
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
d. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)	
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
e. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)	
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
f. ACHIEVES: (Gets results)	
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: (See DA Pam 623-3, para 3-1)	LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS: (See DA Pam 623-3, para 3-1)
PART VI - SENIOR RATER COMMENTS	
(See DA Pam 623-3, para 3-1)	
DA FORM 2166-9-1A, NOV 2015	
Page 2 of 4 APD LC v1.00ES	

Figure 3-1. Example of DA Form 2166-9-1A—Continued (page 2)

Section II

DA Form 2166–9 series Noncommissioned Officer Evaluation Reports

3–2. Purpose and process for DA Form 2166–9 series

a. Purpose. DA Form 2166–9 series allows rating officials to provide HQDA with performance and potential assessments of each rated NCO for HQDA selection board processes. It also provides valuable information for use by successive members of the rating chain, emphasizes and reinforces professionalism, and supports the specialty focus Enlisted Personnel Management System processes. The DA Form 2166–9 series consists of the following:

- (1) DA Form 2166–9–1 NCO Evaluation Report (SGT) for sergeant (SGT).
- (2) DA Form 2166–9–2 NCO Evaluation Report (SSG–1SG/MSG) for staff sergeant (SSG) through first sergeant (1SG).
- (3) DA Form 2166–9–3 NCO Evaluation Report (CSM/SGM) for sergeant major (SGM) and command sergeant major (CSM).

Note: Ensure the appropriate DA Form 2166–9 series is selected and utilized for when rated NCOs are eligible use of the “P” identifier in part I, block of the NCOER (see AR 623–3).

b. Process. NCOER completion requires rating officials to make a conscientious assessment of a rated NCO’s performance in his or her assigned position and his or her potential for increased responsibility and service in positions of higher ranks.

c. Sample. See figures 3–2 through 3–4 for samples of DA Form 2166–9 series NCO evaluation reports.

HQDA#		NCO EVALUATION REPORT (SGT) For use of this form, see AR 623-3; the proponent agency is DCS, G-1.				SEE PRIVACY ACT STATEMENT IN AR 623-3	
PART I - ADMINISTRATIVE DATA							
a. NAME (Last, First, Middle Initial) PRICE, MARK O.			b. SSN (or DOD ID No.) 1111111111		c. RANK SGT	d. DATE OF RANK 20120201	e. PMOSC 12B20
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND 510th CC, 20th Engineer Battalion, Fort Hood, TX 76544 FORSCOM					g. STATUS CODE	h. UIC WBCDAD	i. REASON FOR SUBMISSION 10 Ext annual
j. PERIOD COVERED		k. RATED MONTHS	l. NONRATED CODES	m. NO OF ENCLOSURES	n. RATED NCO'S EMAIL ADDRESS (.gov or .mil)		
FROM YEAR MONTH DAY 20160101	THRU YEAR MONTH DAY 20161231	12	I,S	0	mark.o.price9999.mil@mail.mil		
PART II - AUTHENTICATION							
a1. NAME OF RATER (Last, First, Middle Initial) JOHNSON, MIKE P.			a2. SSN (or DOD ID No.) 2222222222		a3. RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		a4. DATE (YYYYMMDD) YYYYMMDD
a5. RANK SSG	PMOSC/BRANCH 91B30	ORGANIZATION 510th CC, 20th Engineer Battalion		DUTY ASSIGNMENT Section Sergeant		a6. RATER'S EMAIL ADDRESS (.gov or .mil) mike.p.johnson999999.mil@mail.mil	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) HAMILTON, CLYDE A.			b2. SSN (or DOD ID No.) 3333333333		b3. SENIOR RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		b4. DATE (YYYYMMDD) YYYYMMDD
b5. RANK SFC	PMOSC/BRANCH 12B40	ORGANIZATION 510th CC, 20th Engineer Battalion		DUTY ASSIGNMENT Platoon Sergeant		b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) clyde.a.hamilton99999.mil@mail.mil	
c1. SUPPLEMENTARY REVIEW REQUIRED? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial) THORN, ALLEN X.		c3. RANK CPT	PMOSC/ BRANCH EN	ORGANIZATION 510th CC, 20th Engineer Battalion		DUTY ASSIGNMENT Company Commander
c4. COMMENTS ENCLOSED? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	c5. SUPPLEMENTARY REVIEWER'S SIGNATURE DIGITAL SIGNATURE 123456789		c6. DATE (YYYYMMDD) YYYYMMDD		c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil) allen.x.thorn99999999.mil@mail.mil		
RATED NCO: I understand my signature does not constitute agreement or disagreement with the assessments of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and height/weight entries in Part IVa and IVb are correct. I have seen the completed report. I am aware of the appeals process of AR 623-3.							
d1. COUNSELING DATES	INITIAL 20160113	LATER 20160421	LATER 20160722	LATER 20161017	d2. RATED NCO'S SIGNATURE DIGITAL SIGNATURE 123456789		d3. DATE (YYYYMMDD) YYYYMMDD
PART III - DUTY DESCRIPTION (Rater)							
a. PRINCIPAL DUTY TITLE Team Leader					b. DUTY PMOSC 12B20		
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars) (See DA Pam 623-3, para 3-5)							
d. AREAS OF SPECIAL EMPHASIS (See DA Pam 623-3, para 3-5)							
e. APPOINTED DUTIES (See DA Pam 623-3, para 3-6)							
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)							
a. APFT Pass/Fail/Profile: _____ Date: _____				b. Height: _____ Weight: _____ Within Standard? _____			
(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.) (See DA Pam 623-3, para 3-6)							
c. CHARACTER: (Include bullet comments addressing Rated NCO's performance as it relates to adherence to Army Values, Empathy, Warrior Ethos/Service Ethos, and Discipline. Fully supports SHARP, EO, and EEO.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>				COMMENTS: (See DA Pam 623-3, para 3-6)			

Figure 3-2. Example of DA Form 2166-9-1 (page 1)

RATED NCO'S NAME (Last, First, Middle Initial) PRICE, MARK O.		SSN (or DOD ID No.) 1111111111	THRU DATE 20161231
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)			
d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>		COMMENTS: (See DA Pam 623-3, para 3-6)	
e. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, Expertise.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>		COMMENTS: (See DA Pam 623-3, para 3-6)	
f. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example Communicates.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>		COMMENTS: (See DA Pam 623-3, para 3-6)	
g. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>		COMMENTS: (See DA Pam 623-3, para 3-6)	
h. ACHIEVES: (Gets results.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>		COMMENTS: (See DA Pam 623-3, para 3-6)	
RATER OVERALL PERFORMANCE			
i. I currently rate _____ NCOs in this grade. COMMENTS: (See DA Pam 623-3, para 3-6)			
PART V - SENIOR RATER OVERALL POTENTIAL			
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate _____ NCOs in this grade. <input type="checkbox"/> MOST QUALIFIED <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED		b. COMMENTS: (See DA Pam 623-3, para 3-7)	
c. List two successive assignments and one broadening assignment (3-5 years). Successive Assignment: 1) _____ 2) _____ Broadening Assignment: _____			
DA FORM 2166-9-1, NOV 2015			Page 2 of 2 APD LC v1.00ES

Figure 3-2. Example of DA Form 2166-9-1—Continued (page 2)

HQDA#		NCO EVALUATION REPORT (SSG-1SG/MSG) For use of this form, see AR 623-3; the proponent agency is DCS, G-1.				SEE PRIVACY ACT STATEMENT IN AR 623-3	
PART I - ADMINISTRATIVE DATA							
a. NAME (Last, First, Middle Initial) THOMAS, DAVID, M.			b. SSN (or DOD ID No.) 1111111111		c. RANK MSG	d. DATE OF RANK 20140201	e. PMOSC 92Y52SG10
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND HHC, SPT BN, 13th COSCOM, Ft. Hood, TX, 76544, III Corps					g. STATUS CODE	h. UIC WASH26	i. REASON FOR SUBMISSION 02 Annual
j. PERIOD COVERED		k. RATED MONTHS	l. NONRATED CODES	m. NO OF ENCLOSURES	n. RATED NCO'S EMAIL ADDRESS (.gov or .mil)		
FROM	THRU	12		0	david.thomas.mil@mail.mil		
YEAR MONTH DAY 20160101	YEAR MONTH DAY 20161231						
PART II - AUTHENTICATION							
a1. NAME OF RATER (Last, First, Middle Initial) BANKS, KATHERINE			a2. SSN (or DOD ID No.) 5555555555		a3. RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		a4. DATE (YYYYMMDD) YYYYMMDD
a5. RANK LTC	PMOSC/BRANCH AG	ORGANIZATION Army Contracting Agency		DUTY ASSIGNMENT Battalion Commander		a6. RATER'S EMAIL ADDRESS (.gov or .mil) katherine.banks215.mil@mail.mil	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) JONES, WILLIAM A.			b2. SSN (or DOD ID No.) 6666666666		b3. SENIOR RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		b4. DATE (YYYYMMDD) YYYYMMDD
b5. RANK COL	PMOSC/BRANCH AG	ORGANIZATION Army Contracting Agency		DUTY ASSIGNMENT Brigade Commander		b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) william.jones999996665.mil@mail.m	
c1. SUPPLEMENTARY REVIEW REQUIRED? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial)		c3. RANK PMOSC/ BRANCH		ORGANIZATION DUTY ASSIGNMENT		
c4. COMMENTS ENCLOSED? <input type="checkbox"/> YES <input type="checkbox"/> NO	c5. SUPPLEMENTARY REVIEWER'S SIGNATURE		c6. DATE (YYYYMMDD)	c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil)			
RATED NCO: I understand my signature does not constitute agreement or disagreement with the assessments of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and height/weight entries in Part IVa and IVb are correct. I have seen the completed report. I am aware of the appeals process of AR 623-3.							
d1. COUNSELING DATES	INITIAL	LATER	LATER	LATER	d2. RATED NCO'S SIGNATURE DIGITAL SIGNATURE 123456789		d3. DATE (YYYYMMDD) YYYYMMDD
20160118	20160408	20160728	20161010				
PART III - DUTY DESCRIPTION (Rater)							
a. PRINCIPAL DUTY TITLE Contracting Command NCOIC				b. DUTY MOSC 92Y50G1			
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars) (See DA Pam 623-3, para 3-10)							
d. AREAS OF SPECIAL EMPHASIS (See DA Pam 623-3, para 3-10)							
e. APPOINTED DUTIES (See DA Pam 623-3, para 3-10)							
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)							
a. APFT Pass/Fail/Profile: _____ Date: _____				b. Height: _____ Weight: _____ Within Standard? _____			
(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.) (See DA Pam 623-3, para 3-11)							
c. CHARACTER: (Include bullet comments addressing Rated NCO's performance as it relates to adherence to Army Values, Empathy, Warrior Ethos/Service Ethos, and Discipline. Fully supports SHARP, EO, and EEO.) MET STANDARD <input type="checkbox"/> DID NOT MEET STANDARD <input type="checkbox"/>				COMMENTS: (See DA Pam 623-3, para 3-11)			

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Figure 3-3. Example of DA Form 2166-9-2 (page 1)

RATED NCO'S NAME (Last, First, Middle Initial) THOMAS, DAVID, M.		SSN (or DOD ID No.) 1111111111	THRU DATE 20161231
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)			
d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience)		COMMENTS: (See DA Pam 623-3, para 3-11)	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
e. INTELLECT: (Mental agility, Sound judgement, Innovation, Interpersonal tact, Expertise)		COMMENTS: (See DA Pam 623-3, para 3-11)	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
f. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)		COMMENTS: (See DA Pam 623-3, para 3-11)	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
g. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)		COMMENTS: (See DA Pam 623-3, para 3-11)	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
h. ACHIEVES: (Gets results)		COMMENTS: (See DA Pam 623-3, para 3-11)	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
RATER OVERALL PERFORMANCE			
i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate Army NCOs in this grade.			
FAR EXCEEDED STANDARD <input type="checkbox"/>		EXCEEDED STANDARD <input type="checkbox"/>	
		MET STANDARD <input type="checkbox"/>	
		DID NOT MEET STANDARD <input type="checkbox"/>	
j. COMMENTS: (See DA Pam 623-3, para 3-11)			
PART V - SENIOR RATER OVERALL POTENTIAL			
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate Army NCOs in this grade.		b. COMMENTS: (See DA Pam 623-3, para 3-12)	
<input type="checkbox"/> MOST QUALIFIED (limited to 24%) <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED			
c. List two successive assignments and one broadening assignment (3-5 years).			
Successive Assignment: 1)		2)	Broadening Assignment:
DA FORM 2166-9-2, NOV 2015		Page 2 of 2 APD LC v1.00ES	

Figure 3-3. Example of DA Form 2166-9-2-Continued (page 2)

HQDA#		NCO EVALUATION REPORT (CSM/SGM) For use of this form, see AR 623-3; the proponent agency is DCS, G-1.				<i>SEE PRIVACY ACT STATEMENT IN AR 623-3</i>	
PART I - ADMINISTRATIVE DATA							
a. NAME (Last, First, Middle Initial) SMITH, JOE E.			b. SSN (or DOD ID No.) 1111111111		c. RANK CSM	d. DATE OF RANK 20111223	e. PMOSC 31B6M6C
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND 92nd Military Police Battalion, Fort Leonard Wood, MO 65473 FORSCOM					g. STATUS CODE	h. UIC WBW5AA	i. REASON FOR SUBMISSION 03 Change of Rater
j. PERIOD COVERED		k. RATED MONTHS	l. NONRATED CODES	m. NO OF ENCLOSURES	n. RATED NCO'S EMAIL ADDRESS (.gov or .mil)		
FROM	THRU	4		0	joe.e.smith99999.mil@mail.mil		
YEAR MONTH DAY 20160101	YEAR MONTH DAY 20160429						
PART II - AUTHENTICATION							
a1. NAME OF RATER (Last, First, Middle Initial) SMELDEN, MARY L.			a2. SSN (or DOD ID No.) 2222222222		a3. RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		a4. DATE (YYYYMMDD) YYYYMMDD
a5. RANK LTC	PMOSC/BRANCH MP	ORGANIZATION 92nd Military Police Battalion		DUTY ASSIGNMENT Battalion Commander		a6. RATER'S EMAIL ADDRESS (.gov or .mil) mary.l.smelden99999.mil@mail.mil	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) ROY, DAVID L.			b2. SSN (or DOD ID No.) 3333333333		b3. SENIOR RATER'S SIGNATURE DIGITAL SIGNATURE 123456789		b4. DATE (YYYYMMDD) YYYYMMDD
b5. RANK COL	PMOSC/BRANCH CM	ORGANIZATION 4th Maneuver Enhancement Brigade		DUTY ASSIGNMENT Brigade Commander		b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) david.l.roy999999.mil@mail.mil	
c1. SUPPLEMENTARY REVIEW REQUIRED? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial)		c3. RANK PMOSC/ BRANCH		ORGANIZATION		DUTY ASSIGNMENT
c4. COMMENTS ENCLOSED? <input type="checkbox"/> YES <input type="checkbox"/> NO	c5. SUPPLEMENTARY REVIEWER'S SIGNATURE DIGITAL SIGNATURE 123456789		c6. DATE (YYYYMMDD) YYYYMMDD		c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil)		
RATED NCO: I understand my signature does not constitute agreement or disagreement with the assessments of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and height/weight entries in Part IVa and IVb are correct. I have seen the completed report. I am aware of the appeals process of AR 623-3.							
d1. COUNSELING DATES	INITIAL	LATER	LATER	LATER	d2. RATED NCO'S SIGNATURE DIGITAL SIGNATURE 123456789		d3. DATE (YYYYMMDD) YYYYMMDD
20150916	20151217						
PART III - DUTY DESCRIPTION (Rater)							
a. PRINCIPAL DUTY TITLE Command Sergeant Major					b. DUTY MOSC 31B6O6C		
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars) (See DA Pam 623-3, para 3-15)							
d. AREAS OF SPECIAL EMPHASIS (See DA Pam 623-3, para 3-15)							
e. APPOINTED DUTIES (See DA Pam 623-3, para 3-15)							
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)							
a. APFT Pass/Fail/Profile:			Date:		b. Height:		Weight: Within Standard?
(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.) (See DA Pam 623-3, para 3-16)							
c. CHARACTER: (Include bullet comments addressing Rated NCO's performance as it relates to adherence to Army Values, Empathy, Warrior Ethos/Service Ethos, and Discipline. Fully supports SHARP, EO, and EEO.)				COMMENTS: (See DA Pam 623-3, para 3-16)			
MET STANDARD <input type="checkbox"/>		DID NOT MEET STANDARD <input type="checkbox"/>					

Figure 3-4. Example of DA Form 2166-9-3 (page 1)

RATED NCO'S NAME (Last, First, Middle Initial) SMITH, JOE E.		SSN (or DOD ID No.) 111111111	THRU DATE 20160429
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)			
Provide narrative comments which demonstrate performance regarding organizational/strategic competencies (i.e., providing vision, motivation, and inspiration, leading and inspiring change, dealing with uncertainty and ambiguity, creating a positive environment to prepare for the future, expanding knowledge in cultural and geopolitical areas, self-awareness and recognition of impact on others, building team skills and processes, allocating the right resources, capitalizing on unified action partner assets, capitalizing on technology, accomplishing missions consistently and ethically) in the Rated NCO's current duty position. Remaining Attributes and Competencies must be addressed in the narrative. Presence as it relates to military and professional bearing, fitness, confident, and resilient. Intellect as it relates to mental agility, sound judgment, innovation, interpersonal tact, and expertise. Leads as it relates to leads others, builds trust, extends influence beyond chain of command, leads by example, and communicates. Develops as it relates to creates a positive command/workplace environment, fosters esprit de corps, prepares self, develops others, and stewards the profession. Achieves as it relates to gets results.			
d. COMMENTS: (See DA Pam 623-3, para 3-16)			
RATER OVERALL PERFORMANCE			
e. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate _____ Army NCOs in this grade.			
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>
f. COMMENTS: (See DA Pam 623-3, para 3-16)			
PART V - SENIOR RATER OVERALL POTENTIAL			
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate _____ Army NCOs in this grade.		b. COMMENTS: (See DA Pam 623-3, para 3-17)	
<input type="checkbox"/> MOST QUALIFIED (limited to 24%) <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED			
c. List two successive assignments and one broadening assignment (3-5 years).			
Successive Assignment: 1)		2)	Broadening Assignment:
DA FORM 2166-9-3, NOV 2015			
			Page 2 of 2 APD LC v1.00ES

Figure 3-4. Example of DA Form 2166-9-3-Continued (page 2)

Section III

DA Form 2166-9-1 (NCO Evaluation Report (SGT))

3-3. Part I, administrative data

Part I is for administrative data, including identification and contact information of the rated NCO, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of DA Form 2166-9-1. See table 3-16 for a list of codes and reasons for submitting NCOERs and table 3-17 for the codes and reasons for nonrated periods. See table 3-1 for DA Form 2166-9-1 NCO evaluation report administrative data instructions.

Note: Using the Wizard application associated with the electronic form within the EES allows the rater to automatically populate the administrative data in part I of the NCOER based on the most current data from the authoritative database at HQDA.

Table 3-1
Administrative data for DA Form 2166-9-1

DA Form 2166-9-1, part I: block a—Name

Action required: Enter the rated NCO's full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 2166-9-1, part I: block b—SSN

Action required: N/A

Action required: Enter the rated NCO's full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

Action required: None

DA Form 2166-9-1, part I: block c—Rank

Action required: Enter the rated NCO's three-letter rank abbreviation, not pay grade (for example, "SGT") as of the "THRU" date.

— If the rated NCO has been selected for promotion and is serving in a position authorized for the next higher rank, a "P" will be placed after his or her current rank (for example, "SGTP").

— If the rated NCO is not assigned to a position authorized for the higher rank, no "P" will be entered after the rank.

— If the rated NCO was reduced to specialist or below, enter the reduced rank. Reduction to another NCO grade does not require an NCOER.

Note: For ARNG NCOs, promotions and/or promotable status' dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists (see AR 623-3 para 2-11).

Reference: AR 600-20

DA Form 2166-9-1, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated NCO's rank as of the "THRU" date on the report. If the NCO is promotable but not yet promoted, the date of rank is for the current rank. If the rated NCO was reduced to specialist or below, enter the effective date of the reduction.

Reference: None

DA Form 2166-9-1, part I: block e—PMOSC

Action required: Enter up to nine digits of the PMOS (for example, 19E30, 42A5MA3, and 18Z5PW9LA). If an NCO does not possess an ASI or language identifier, only a five-digit military occupational specialty (MOS) is entered. An alpha or numeric entry may be used to denote the last digit of the skill level ("O" or "0").

Reference: None

DA Form 2166-9-1, part I: block f—Unit, Org, Station, ZIP Code or APO, Major Command

Action required: Enter the rated NCO's unit, organization, station, zip code or APO, and Major Command in the order listed on the NCOER.

Note. The Wizard application associated with the electronic form within the EES may not automatically enter deployed unit data; however, it may be manually changed on the NCOER. USAR must include the appropriate Major USAR command and/or USAR General Officer Command.

—The address should reflect the rated NCO's location as of the "THRU" date of the NCOER. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit's address with duty at (abbreviated "w/dy at") the Soldier's deployed unit location.

Reference: None

DA Form 2166-9-1, part I: block g—Status Code

Action required: For USAR or ARNG, enter component status code as follows:

— IRR—individual ready reserve (or IRR-MOB for mobilized IRR Soldier).

— IMA—individual mobilization augmentee (or IMA-MOB for mobilized IMA Soldiers).

Table 3-1
Administrative data for DA Form 2166-9-1—Continued

- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
- TPU—troop program unit.
- ADOS—active duty for operational support.
- AGR—active guard reserve.
- MOB—mobilized Soldier.
- CO—ADOS—contingency operations-active duty for operational support.
- ADOS—RC—active duty for operational support-Reserve Component.
- M—DAY—man-day ARNG traditional Soldiers.

For RA leave blank.

Reference: None

DA Form 2166-9-1, part I: block h—UIC

Action required: Enter the rated NCO's unit identification code (UIC).

Note. This code can be automatically populated by using the Wizard application within the electronic form within the EES, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 2166-9-1, part I: block g—Reason for Submission

Action required: Enter the appropriate NCOER code and reason that identify why the NCOER is being prepared for submission.

Reference: Table 3-16

DA Form 2166-9-1, part I: block h—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last NCOER to the date of the event causing the current NCOER to be written. The rating period is that period within the period covered during which the rated NCO serves in the same position under the same rater who is writing the NCOER. The period covered and the rating period will always end on the same date (the "THRU" date of the NCOER). The beginning date of the rating period may not be the same as the "FROM" date of the NCOER. For example, an NCO departs on PCS on 1 July and is given a "Change of Rater" NCOER with a "THRU" date of 30 June. After 5 days in travel and 20 days on leave, the NCO reports for duty on 26 July. On 1 November, the NCO is assigned to a new position and changes rater; he or she is given a "Change of Rater" NCOER. The period covered on this NCOER would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" NCOERs will be the day before the change. For rated NCOs signing out on transition leave, the "THRU" date will be the rated NCO's final duty day in the assigned duty position before transition leave begins. Use the "YYYYMMDD" format for "FROM" and "THRU" dates. NCOERs will be rendered in the following situations:

- RA: The initial NCOER period begins on the effective date of promotion to SGT (including promotion to SGT following a reduction), reversion to NCO status after serving as a commissioned or warrant officer, reentry on active duty after a break in service, or the date of the Army Board for Correction of Military Records memorandum that approves reinstatement of a promotion.
- ARNG: The initial NCOER period will begin on the effective date of promotion to SGT or the effective date assigned or attached to a unit, whichever occurs later.
- USAR-AGR: The initial NCOER period begins on the effective date of promotion to SGT or the effective date ordered to AGR status, whichever occurs later.
- USAR TPU: The initial NCOER period will begin on the effective date of promotion to SGT or the effective month assigned or attached to a TPU from the IRR, IMA, ARNG, or RA, whichever occurs later.
- IRR, IMA, or ING: The initial NCOER period begins the day that the NCO performs duty in an AT, ADT, ADOS—RC, ADOS, or IDT status for points or pay, or full-time National Guard duty. If a Soldier is promoted to SGT while on one of these active duty tours, the NCO will receive a NCOER on an event occurring on or after the date when minimum rater qualifications are met from the effective date of promotion to SGT.

Reference: None

DA Form 2166-9-1, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the "rating period" and dividing the number of days in the rating period by 30.

Note. Do not use the number of days in the entire "period covered" by the NCOER. Subtract all nonrated time. If 15 or more days are left after dividing the rating period by 30, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 2166-9-1, part I: block l—Nonrated Codes

Action required: Enter the appropriate codes from table 3-17. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block k are not required for ARNG IRR and IMA Soldiers not on active duty.

Reference: Table 3-17

DA Form 2166-9-1, part I: block m—Number of Enclosures

Action required: Enter the number of enclosures. If there are no enclosures, enter "0" or leave blank. Possible enclosures include—

Table 3-1
Administrative data for DA Form 2166-9-1—Continued

- Supplementary Reviewer's comments.
- 30-day "Relief for Cause" waiver memorandum.
- Memorandum for "Relief for Cause" NCOER directed by other than the rating officials.
- DCS, G-1 waiver of compliance with AR 600-9

Reference: AR 623-3

DA Form 2166-9-1, part I: block n—Rated NCO's Email Address (official .gov or .mil)

Action required: Enter the rated NCO's official .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

3-4. Part II, authentication

Part II is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. To facilitate the rated NCO in signing the NCOER after authentication by the rating officials, the NCOER can be signed and dated by each individual in the rating chain up to 14 days prior to the "THRU" date of the NCOER; however, the NCOER cannot be forwarded to HQDA until the "THRU" date of the NCOER.

Note: Rating officials' names may automatically populate by entering SSNs (or DOD ID numbers) with the Wizard application associated with the electronic form within the EES. The following rules apply:

- a. The supplementary reviewer's signature and date cannot be before the senior rater's signature.
 - b. The senior rater's signature and date cannot be before the rater's signature.
 - c. The rated NCO's signature and date cannot be before the rater's or senior rater's signature.
-

Table 3-2
Authentication for DA Form 2166-9-1

DA Form 2166-9-1, part II: : blocks a (1 through 6)—Rater's Information

Action required: Enter the rater's information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
 - The rank entry will be current as of the "THRU" date of the NCOER. A "P" is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
 - For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD. For general officers, enter "GO." The two-character branch entry will not be "GS."
 - Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in ".gov" or ".mil" will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- Note. The rater's signature and date are required on the completed NCOER. For raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy "USN," U.S. Air Force "USAF," U.S. Marine Corps "USMC," U.S. Coast Guard "USCG" in the PMOSC/Branch block in part II, block a5. For example, a U.S. Navy captain would be entered as "CAPT" in the rank block and "USN" in the PMOSC/branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, "SES" will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.*
- For DA civilians only enter, "DAC" as PMOSC/Branch; for civilians of other Services within DOD, enter "CIV" as the PMOSC/Branch.
 - For service members of allied forces serving as a rater (under exceptional circumstances), enter the rater's country or country abbreviation in parentheses after his or her name (for example, (AU), (Italy), (GBR), and so forth). Allied forces raters of U.S. Army NCOs will require an international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for an international rater identification number will be submitted to HRC, Evaluations branch (see appendix B for contact information and address). The request will include: justification, allied forces rater's complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army NCO/Officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.

Note: Allied forces rating officials may not have the ability to access EES or sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR

Table 3-2
Authentication for DA Form 2166-9-1—Continued

623-3). Other entered data remains the same.

Reference: None

DA Form 2166-9-1, part II: blocks b (1 through 6)—Senior Rater's Information

Action required: Enter the senior rater's information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the "THRU" date of the NCOER. A "P" is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in ".gov" or ".mil" will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy "USN," U.S. Air Force "USAF," U.S. Marine Corps "USMC," U.S. Coast Guard "USCG" in the PMOSC/Branch block in part II, block b5. For example, a U.S. Navy captain would be entered as "CAPT" in the rank block and "USN" in the PMOSC/branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, "SES" will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter, "DAC" as PMOSC/Branch; for civilians of other Services within DOD, enter "CIV" as the PMOSC/Branch.
- The senior rater will sign the NCOER even if he or she is unable to evaluate the rated NCO due to lack of qualification.
Note. Using the Wizard application of the electronic form within EES, senior raters who lack minimum rating qualification will check the "NO" box in response to the question "Have you been the senior rater for this NCO for at least 60 days?" to enter the statement "I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days" in part V, block b, leaving all other portions of part V blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated NCO is 90 days for USAR TPU, DIMA, and drilling IRR NCOs and ARNG NCOs.
- If the senior rater is serving both as the rater and senior rater, the senior rater's information and signature will be entered in part II, blocks a and b.

Reference: None

DA Form 2166-9-1, part II: blocks c (1 through 7)—Supplementary Reviewer's information

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

- (1) When a senior rater within the rated NCOs rating chain is an NCO in the rank of SFC through MSG/1SG.
- (2) When a senior rater within the rated NCOs rating chain is a warrant officer in the rank of WO1 through CW2.
- (3) When a senior rater within the rated NCOs rating chain is an Army Officer in the rank of 2LT through 1LT.
- (4) When there are no uniformed Army designated rating officials for the rated NCO.
- (5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of SGT through MSG/1SG.
- (6) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of WO1 through CW2.
- (7) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 2LT through 1LT.
- (8) For all "Relief for Cause" evaluation reports when the senior rater is the individual directing the relief.
- (9) For all "Relief for Cause" evaluation reports directed by an individual other than the rating officials.

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

- The senior rater will mark "Yes" or "No" in block c1 to identify if the NCOER requires a supplementary review.
- If the "Yes" box is marked in part II, block c1, Enter the supplementary reviewer's information - name (last, first, MI, suffix) in capital letters/ /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/signature/validation date official .gov or .mil email address.
- The rank entry will be current as of the "THRU" date of the NCOER. A "P" is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."

Table 3-2
Authentication for DA Form 2166-9-1—Continued

- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- The supplementary reviewer may prepare an enclosure to the NCOER. If necessary, the supplementary reviewer will comment upon the accuracy or clarity of the completed NCOER.
- If the supplementary reviewer determines the NCOER is accurate and comments are not necessary, they will indicate so by selecting the “NO” in part II, block c4 and sign in part II, block c5 with no added comments necessary. If the supplementary reviewer determines comments are necessary, the reviewer will select “YES” in part II, block c4 of the NCOER and prepare and attach an enclosure to the NCOER and sign in part II, block c5.
- Comments will not include evaluative statements about the rated NCO or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain.
- When required, the supplementary reviewer’s signature and date will be annotated on the completed NCOER.
Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
Note: Using the electronic NCOER within the EES will allow the supplementary reviewer to generate a memorandum as a built-in enclosure to the NCOER when required.

Reference: AR 623-3, paragraph 2-8

DA Form 2166-9-1, part II: block d1—Counseling Dates

Action required: Enter the actual dates of counseling as documented on DA Form 2166-9-1A (YYYYMMDD). When counseling dates are omitted, the senior rater will enter a statement in part V, block b explaining why counseling was not accomplished. The absence of counseling will not be used as the sole basis for an appeal. However, the lack of counseling may be used to help support other claims made in an appeal.

Reference: None

DA Form 2166-9-1, part II: block d2—Rated NCO’s Signature

Action required: The rated NCO will sign and date the NCOER after it has been completed and signed by the rater and senior rater in the rating chain.

- The rated NCO acknowledges that he or she has seen the completed NCOER and verifies the accuracy of administrative data in part I (except part I, block m), the rating officials and counseling dates in part II, the duty description in part III, and the APFT and height and weight entries in part IV, block a and block b. This action increases administrative accuracy of the NCOER since the rated NCO is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated NCO based on inaccurate administrative data. Any administrative errors noted by the rated NCO will be brought to the attention of the rating officials and corrected prior to his or her signature. It is important that rated NCOs and rating officials clearly understand that the rated NCO’s signature does not constitute agreement or disagreement with the evaluations of the rater and/or senior rater. Rating officials will ensure that the rated NCO is aware of the redress process.
- If the rated NCO is physically unavailable to sign his or her NCOER (and the NCOER cannot be forwarded to him or her to sign), unable to sign the NCOER digitally or manually, or refuses to sign the NCOER for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the Wizard application associated with the electronic form within the EES, the senior rater will check the appropriate “NO” box response to the question “Is the rated Soldier available for signature?” or the comment “Rated Soldier refused to sign.” The applicable statement will then be entered in part V, block b (“Soldier unavailable for signature” and/or “Soldier refused to sign”).

Note. If the rated NCO’s signature is left blank in block d2, and the Wizard application associated with the electronic form within the Evaluation Entry System is not used to enter the appropriate status, the Evaluation Entry System may not allow the NCOER to be submitted. A NCOER stating that the NCO cannot sign due to CAC issues is unacceptable, and such NCOERs will not be processed.

Reference: None

3-5. Part III, duty description

Part III provides for the duty description of the rated NCO. Rating officials are responsible to ensure the duty description information is factually correct. The rater enters this information and the rated NCO verifies it. The duty description—

- a. Is an outline of the normal requirements of the specific duty position.
- b. Should show type of work required rather than frequently changing tasks.
- c. Is essential to performance counseling and evaluation. It is used during the first counseling session to tell the rated NCO what the duties of the position are and what needs to be emphasized.
- d. May be updated during the rating period.
- e. Is used at the end of the rating period to record what was important about the duties.

Table 3–3
Duty description for DA Form 2166–9–1

DA Form 2166-9-1, part III: block a—Principal Duty Title

Action required: Enter principal duty title that matches the unit force management document or that most accurately reflects actual duties performed.

Reference: None

DA Form 2166-9-1, part III: block b—Duty MOSC

Action required: Enter duty military occupational specialty code (MOSC) (at least five characters but no more than nine). If ASI and/or language skill identifier are required, the duty MOSC will be either seven or nine characters; if the position does not require ASI or language skill identifier only five characters will be used. In cases where the rated NCO is filling an officer position, enter the enlisted MOSC that best matches the officer position.

Reference: None

DA Form 2166-9-1, part III: block c—Daily Duties and Scope

Action required: Enter the most important routine duties and responsibilities in a series of phrases, starting with action words, separated by semicolons, and ending in a period. Use the present tense to identify what the rated NCO is supposed to do in his or her duty position. Unless changes occurred during the rating period, the duty description on the NCOER should be the same as the one on the DA Form 2166–9–1A. Scope should include the number of people supervised, equipment, facilities, dollars involved, and any other routine duties and responsibilities critical to mission accomplishment.

Note. For ARNG AGR Soldiers assigned as readiness NCO or training NCO, enter both the NCO’s table of organization and equipment (TOE) or table of distribution and allowances (TDA) assignment and the full-time support title, such as chief of a division, branch, or section, or firing battery or readiness NCO. Include comments about both the position duties and the full-time support duties in blocks c through e.

Reference: None

DA Form 2166-9-1, part III: block d—Areas of Special Emphasis

Action required: Enter areas of special emphasis and/or appointed duties as a list of tasks and/or duties, separated by semicolons, and ending with a period. This portion is most likely to change during the rating period. It should include the most important items that applied at any time during the rating period.

Note. For ARNG AGR Soldiers assigned as readiness NCO or training NCO, enter both the NCO’s TOE or TDA assignment and the full-time support title, such as chief of a division, branch, or section, or firing battery or readiness NCO. Include comments about both the position duties and the full-time support duties in blocks c through e.

Reference: None

DA Form 2166-9-1, part III: block e—Appointed Duties

Action required: Enter duties appointed to the NCO not normally included in the duty description.

Note. For ARNG AGR Soldiers assigned as readiness NCO or training NCO, enter both the NCO’s TOE or TDA assignment and the full-time support title, such as chief of a division, branch, or section, or firing battery or readiness NCO. Include comments about both the position duties and the full-time support duties in blocks c through e.

Reference: None

3–6. Part IV, Performance Evaluation, Professionalism, Attributes, and Competencies

Part IV provides an assessment of a rated NCO’s professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army’s leadership doctrine that define professionalism for the Army. Attributes are characteristics that are an inherent part of an individual’s total core, physical, and intellectual aspects. Attributes shape how individuals behave in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are critical attributes that define a leader’s character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective NCO Corps. Attributes and core leader competencies are on the DA Form 2166–9 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all NCOs.

Comments throughout the DA Form 2166–9–1 NCOER within Part IV utilize bullet format. Additionally, rater’s will annotate box check selections of “MET STANDARD” or “DID NOT MEET STANDARD” when assessing the rated NCOs compliance with organizational and Army standards aligned with attributes and core leader competencies.

a. “MET STANDARD” or “DID NOT MEET STANDARD.” The rater will check either “MET STANDARD” or “DID NOT MEET STANDARD” when assessing the rated NCOs performance in part IV, blocks c through h. Raters will base each entry on whether or not the rated NCO meets or does not meet the standard for each particular attribute and competencies.

(1) DID NOT MEET STANDARD - Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

(2) MET STANDARD - Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.

(3) Qualitative and substantiated bullet comments are used to explain areas where a rated NCO is particularly strong or needs improvement. Brief definitions of the Army's attributes and core leader competencies are annotated on the NCOER, part IV, blocks c through h. Further information is found in ADRP 6-22 and ADP 6-22.

b. Bullet comments. Bullet comments are mandatory regardless of the box check rating given (at least one bullet will be entered in each block of c through i). Standardized rules apply to bullet comments on NCOER. Bullet comments will—

(1) Be short, concise, to the point. Bullets will not be longer than two lines, preferably one, and no more than one bullet to a line.

(2) Start with action words (verbs) or possessive pronouns (his or her); personal pronouns (he or she) may be used; use past tense when addressing how the NCO performed and his or her contributions made during the rating period.

(3) Be double-spaced between bullets.

(4) Be preceded by a small letter "o" to designate the start of the comment. Each bullet comment must start with a small letter unless it is a proper noun (name) that is usually capitalized.

(5) Support the box checks by rating officials.

(6) Use a specific example only once; therefore, the rater must decide under which attribute and/or competencies the bullet fits best (or is most applicable). See table 3-4 for DA Form 2166-9-1 NCOER attributes and competencies instructions.

Table 3-4

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-1

DA Form 2166-9-1, part IV: block a—APFT

Action required: In the space after the word "APFT" the rater will enter "PASS" or "FAIL" and the date (YYYYMMDD) of the most recent record APFT administered by the unit; it will be within the 12-month period prior to the "THRU" date of NCOER. However, the APFT date does not have to fall within the period covered by the NCOER. If the NCO was unable to participate in the most recent record APFT (for example, due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

— For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter "PASS" or "FAIL" for the alternate APFT as prescribed by health care personnel and the date of the APFT. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the rated Soldier's profile is required.

— For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason it has been left blank.

— Soldiers with temporary profiles at the time of the unit's record APFT will enter "PROFILE" and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the "THRU" date of the NCOER.

— Sample entries are "PASS 20150414," "FAIL 20150507," or "PROFILE 20150302." APFT numerical scores will not be entered for a required date entry.

— The rater will address a "FAIL" entry for APFT in block c. Bullet comments for "FAIL" entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards of AR 350-1.

— Make a comment on "PROFILE" entries only if the rated NCO's ability to perform his or her assigned duties is affected.

— The rater will explain the absence of an APFT entry in block a. If the APFT has not been taken within 12 months of the "THRU" date of the NCOER the APFT data entry will be left blank and the rater will provide an explanation in the provided comments section. In accordance with AR 40-501, an APFT is not required for pregnant NCOs.

— For pregnant NCOs who have not taken the APFT within the last 12 months due to pregnancy, temporary profiles, and/or convalescent leave, the rater will enter the following statement within the comments section: "Exempt from APFT requirement in accordance with AR 40-501."

Note. When using the Wizard application associated with the electronic form within the Evaluation Entry System, the APFT and height and weight statement will be combined.

— In accordance with AR 350-1, NCOs 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile, unless a current profile exists.

— Additionally, NCOs 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600-9. If no APFT is taken, leave the APFT entry blank and make a comment addressing the blank APFT entry stating, "NCO exempt from APFT requirement in accordance with AR 350-1."

Table 3-4

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-1—Continued

— Deployed units unable to administer the APFT due to mission or conditions will annotate NCOERs with the following statement: “NCO unable to take the APFT during this period due to deployment for combat operations/contingency operations.” In accordance with AR 350-1, upon return from deployment, NCOs will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG NCOs.

Note. NCOs are not exempt from complying with height and weight requirements of AR 600-9.

- No comment pertaining to NCOs who meet Army minimum standards for APFT but fail to meet unit standards will be mentioned.
- NCOs who meet Army minimum standards for APFT but fail to meet unit standards will not be given rating of “DID NOT MEET STANDARDS” within block d. “PRESENCE” for physical fitness if such rating is based solely on the failure to meet unit APFT standards.

Reference: AR 350-1, AR 40-501, AR 600-9 and standardized rules for bullet comments (see para 3-6).

DA Form 2166-9-1, part IV: block b—Height/Weight

Action required: : In the space after “Height/Weight” the rater will enter the rated NCO’s height and weight as of the unit’s last record weigh-in. If there is no unit weigh-in during the period covered by the NCOER, the rater will enter the NCO’s height and weight as of the “THRU” date of the NCOER. An entry of “YES” or “NO” will be placed in the space next to the weight to indicate compliance or noncompliance with AR 600-9. Sample entries are: “72/180 YES” or “68/205 NO.”

- For NCOs 60 years of age and older, who must remain in compliance with height and weight standards, the “Height/Weight” entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- The rater will enter a “YES” for NCOs who meet the table screening weight or are in compliance with the body composition standards of AR 600-9, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600-9, within the comments section. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO” entry is still required because medical waivers to weight control standards are not permitted for NCOER purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant NCOs, the entire entry is left blank. The rater will enter the following statement: “Exempt from weight control standards of AR 600-9.”

Note. When using the Wizard application associated with the electronic form within the Evaluation Entry System, the APFT and height and weight statement will be combined.

- Rating officials will not use the word “pregnant,” or refer to an NCO’s pregnancy in any manner when completing the NCOER.
- For NCOs with major limb loss, the entire entry is left blank. The rater will enter the following statement in the comments section: “Exempt from weight control standards of AR 600-9”. Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the NCOER.
- For rated NCOs having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in the comments section, “Rated NCO has a DCS, G-1 waiver of compliance with AR 600-9.” In such cases, a copy of the DCS, G-1 approval memo will be submitted as an enclosure to the NCOER.
- Unless the rated NCO has an approved request for a DCS, G-1 waiver of compliance with AR 600-9, the height and weight standards of AR 600-9 apply at all times, even when the NCO is deployed for combat or contingency operations. This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600-9 and standardized rules for bullet comments (see para 3-6).

DA Form 2166-9-1, part IV: block c—Character

Action required: Encompasses elements internal and central to the leader’s core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right, and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Rating officials will comment on how well the rated NCO promoted a climate of dignity and respect and adherence to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated NCO made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated NCO to foster a climate of dignity and respect and adherence to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated NCO—

1. Committed an act of sexual harassment or sexual assault;
2. Failed to report a sexual harassment or sexual assault;
3. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

Table 3-4**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-1—Continued**

For NCOs who are found with substantiated SHARP, EO, and/or EEO complaints resulting from an AR 15-6 investigation or other official investigation by military or civil authorities, a “DID NOT MEET STANDARD” entry will be annotated in Part IV, block c. and a bullet comment “does not support SHARP, EO, and EEO” will be annotated by the rater in Part IV block c comments section. Additionally, the senior rater will annotate a bullet comment in Part V, block b.

Note: additional comments may be explained and entered in part IV, blocks d through h (if required)

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Bullet comments provided will refer to a specific value and be included in the narrative (for example, “o solid, trustworthy NCO whose integrity is beyond reproach”). A list of Army Values and their definitions follow (a more detailed explanation can be found in ADRP 6-22).

1. *Loyalty:* Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. *Duty:* Fulfills obligations (professional, legal, and moral).
3. *Respect:* Treats people as they should be treated.
4. *Selfless service:* Puts the welfare of the Nation, the Army, and subordinates' priorities before self.
5. *Honor:* Adheres to the Army's publicly declared code of values.
6. *Integrity:* Does what is right, legally and morally.
7. *Personal courage:* Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person's point of view, to identify with, and enter into another person's feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person's situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier's selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army's heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training, but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one's own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization's key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: block d—Presence

Action required: — Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader's outward appearance, demeanor, actions, and words. Presence incorporates a leader's effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

- *Military and professional bearing:* Projecting a commanding presence, a professional image of authority.
- *Fitness:* Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.
- *Confidence:* Projecting self-confidence and certainty in the unit's ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.
- *Resilience:* The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: block e—Intellect

Action required: — Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

- *Mental agility:* Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.
- *Sound judgment:* Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.
- *Innovation:* Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Table 3-4

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-1—Continued

- *Interpersonal tact*: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.
- *Expertise*: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: block f—Leads

Action required: Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Note: Rating officials may provide additional comments (if needed) evaluating the rated NCO on how well the rated NCO promoted a climate of dignity and respect and adherence to requirements of SHARP.

- *Leads others*: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. At the direct level, a platoon leader knows what a battalion commander wants done, because the lieutenant understands the commander's intent two levels up. The intent creates a critical link between the organizational and direct leadership levels.
- *Extends influence*: Beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.
- *Builds trust*: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.
- *Leads by example*: Living by the Army Values and the Warrior Ethos that best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.
- *Communicates*: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: block g—Develops

Action required: Developing people and the organization with a long-term perspective requires leaders who:

- *Create a positive environment* that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.
- *Seek self-improvement* to master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.
- *Invest adequate time and effort* to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
- *Act as stewards of the profession*, making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.
- The rater will comment on how well the NCO promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the NCOER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated NCO adherence to requirements of SHARP.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: block h—Achieves

Action required:

Table 3-4**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-1—Continued**

—Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This, combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals, allows for accomplishing missions consistently and ethically.

Reference: Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-1, part IV: —Rater Overall Performance

Action required: The rater makes an assessment of the rated NCO's overall performance when compared with all other NCOs of the same rank the rater has previously rated or currently has in his or her rated population.

- The rater will enter the total number of Army NCOs, of the same rank, they currently rate.
- Bullet comments are mandatory and should compare the performance of the rated NCO with their contemporaries (see AR 623-3) during the evaluation period. The focus is on performance results achieved and the manner by which they were achieved.
- In cases when the rater is serving as both rater and senior rater in accordance with AR 623-3, he or she will complete part IV, blocks a through c and part IV, block i. Part IV, block i "COMMENTS" will be used to cite the authority for the rating official to act as both rater and senior rater. Example of appropriate comments for part IV, block i "COMMENTS" include "Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19" (or para 2-20 as applicable) or "Serving as rater and senior rater in accordance with the CG, HRC exception to policy." when applicable.) The rater may add additional comments addressing the performance of the rated NCO within part IV, blocks d through h, as these sections are optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166-9-1 in both the rater's and senior rater's signature blocks. Additional instructions applicable to this situation are described below in table 3-5.

Reference: None

3-7. Part V, senior rater overall potential

a. Part V is the senior rater's assessment of the rated NCO's potential. Part V is intended to capitalize on the senior rater's additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated NCO's DA Form 2166-9-1A is intended to assist the senior rater and supplement more traditional means of evaluation, such, as personal observation, reports and records, and other rating officials. To ensure that the senior rater is a senior official qualified to evaluate the rated NCO, he or she must meet the minimum requirements in AR 623-3.

b. In evaluating the whole NCO, the senior rater makes an assessment of the NCO's potential for promotion to the next higher grade when compared with other NCOs.

c. Senior rater comments are written in narrative format. In preparing comments, senior raters will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's potential. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Authorized abbreviations, brevity codes, and/or acronyms found in AR 25-52 may be used in 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. Additional information is available in AR 623-3.

d. Senior rater comments are written in narrative format. In preparing comments, senior raters will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's potential. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Authorized abbreviations, brevity codes, and/or acronyms found in AR 25-52 may be used in 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. Additional information is available in AR 623-3.

Note: A senior rater's subsequent statement that he or she rendered an inaccurate "HIGHLY QUALIFIED" or lower evaluation of a rated NCO's potential will not be a basis for an appeal.

e. Senior raters who meet minimum qualification criteria established in AR 623-3 will complete part V.

Note: Policy pertaining to the use of "P" designation for sergeants (SGT) concerning profiling do not apply. Promotable sergeants (SGTP) will not be included in a senior rater's staff sergeants (SSG) profile.

Table 3–5
Senior rater for DA Form 2166–9–1

DA Form 2166-9-1, part V: block a—Potential Box Check

Action required: — The senior rater will enter the total number of Army NCOs of the same rank as the rated NCO he or she currently senior rates.

- The senior rater makes an assessment of the rated NCO's overall potential when compared with all other NCOs of the same rank the senior rater has previously rated or currently has in his or her rated population.
- This potential is evaluated in terms of the majority of NCOs in the population. If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will place an "X" in the "HIGHLY QUALIFIED" box. If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, the senior rater will place an "X" in the "MOST QUALIFIED" box. If the rated NCO's potential is adequate, but beneath the majority of NCOs in the senior rater's population for that grade and the senior rater believes the rated NCO possesses potential with further development, the senior rater will place an "X" in the "QUALIFIED" box. If the rated NCO's potential is below the majority of NCOs in the senior rater's population for that grade and the senior rater does not believe the rated NCO should be retained, the senior rater will place an "X" in the "UNQUALIFIED" box.
- The intent is for the senior rater to utilize the "MOST QUALIFIED" box check selection when identifying the upper tier of NCOs, of the same grade, within the senior rater's population.

Reference: None

DA Form 2166-9-1, part V: block —Senior Rater Comments

Action required: Narrative comments by the senior rater on rated NCO's potential are mandatory. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph.

- When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated NCO, he or she will enter the following statement in part V, block b: "I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days." In these cases, all other entries in part V, blocks a, b, and c will be left blank.
Note. Senior raters will use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement in part V, block b, if he or she is unable to evaluate the rated NCO.
- The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated NCO's potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments and level of assignments, and/or retention, when applicable.
- Anything unusual about the DA Form 2166–9–1 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated NCO's signature; signatures are out of sequence on the report).
- Senior raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that a rated NCO: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
- The senior rater must address the lack of a rated NCO's signature on the NCOER.
Note. If the rated NCO is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 2166–9–1, for any reason, the senior rater will either resolve the problem or use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement explaining why the rated NCO's signature is left blank in part II, block d2. Otherwise, the EES may not allow the report to be submitted. A report stating that the NCO cannot sign due to CAC issues is unacceptable and such reports will not be processed. The report will not be delayed because it lacks the rated NCO's signature.
- If the senior rater's evaluation is based on infrequent observation of the rated NCO, this fact should be noted.
- In cases when the senior rater is also serving as the rater, they will complete parts IV, blocks a through c and block i. in the rater's portion of the DA Form 2166–9–1. Part IV, block i "COMMENTS" will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block i "COMMENTS" include "Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19" (or para 2–20 as applicable) or "Serving as rater and senior rater in accordance with the CG, HRC exception to policy." when applicable.) The senior rater may add additional comments within part IV, blocks d through h, capturing the rated NCOs performance, as these are optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166–9–1 in both the rater's and senior rater's signature blocks.

Reference: None

DA Form 2166-9-1, part V: block c—Successive Assignments and Broadening Assignment

Action required: The senior rater will list two different successive duty positions and one broadening assignment (by job title) in which the rated NCO is best suited to serve based on the rated NCO's demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for NCOERs on which the rater indicates "DOES NOT MEET STANDARD" within bullet comments in Part IV, block i and the senior rater indicates a rating of "NOT QUALIFIED." On these DA Form 2166–9–1 only, no successive or broadening duty assignments are required.

Reference: DA Pam 600–25

Section IV

DA Form 2166-9-2 (NCO Evaluation Report (SSG-1SG/MSG))

3-8. Part I, administrative data

Part I is for administrative data, including identification and contact information of the rated NCO, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of DA Form 2166-9-2. See table 3-16 for a list of codes and reasons for submitting NCOERs and table 3-17 for the codes and reasons for nonrated periods. See table 3-6 for DA Form 2166-9-2 NCO evaluation report administrative data instructions.

Note. Using the Wizard application associated with the electronic form within the Evaluation Entry System allows the rater to automatically populate the administrative data in part I of the NCOER based on the most current data from the authoritative database at HQDA.

Table 3-6
Administrative data for DA Form 2166-9-2

DA Form 2166-9-2, part I: block a—Name

Action required: Enter the rated NCO's full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 2166-9-2, part I: block b—SSN

Action required: Enter the rated NCO's full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

Reference: None

DA Form 2166-9-2, part I: block c—Rank

Action required: Enter the rated NCO's three-letter rank abbreviation, not pay grade (for example, "SSG") as of the "THRU" date.

— If the rated NCO has been selected for promotion and is serving in a position authorized for the next higher rank, a "P" will be placed after their current rank (for example, "SSGP" and "SFCP").

— If the rated NCO has been selected for promotion/and or attendance to USASMA and is not assigned to a position authorized for the higher rank, no "P" will be entered after the rank (for example 1SG selected for attendance to USASMA assigned as First Sergeant will enter "1SG").

Note: Master Sergeants and First Sergeants selected for attendance to USASMA and serving in positions authorized for the next higher rank (that is, SGM/CSM) will be assessed on DA Form 2166-9-3.

— If the rated NCO has been frocked to the next higher rank and is serving in a position authorized for the rank to which he or she is frocked, enter the frocked rank. (for example, SFC frocked to 1SG and serving in a first sergeant position, enter "1SG").

— If the rated NCO was reduced to specialist or below, enter the reduced rank. Reduction to another NCO grade does not require an NCOER.

Note: For ARNG NCOs, promotions and/or promotable status' dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists. See AR 623-3 para 2-11).

Reference: AR 600-20

DA Form 2166-9-2, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated NCO's rank as of the "THRU" date on the report. If the NCO is promotable but not yet promoted, the date of rank is for the current rank. If the rated NCO was reduced to specialist or below, enter the effective date of the reduction. If the rated NCO is frocked to the next higher rank, enter the frocked date of rank.

Reference: None

DA Form 2166-9-2, part I: block e—PMOSC

Action required: Enter up to nine digits of the PMOS (for example, 19E30, 42A5MA3, and 18Z5PW9LA). If an NCO does not possess an ASI or language identifier, only a five-digit (military occupational specialty (MOS) is entered. An alpha or numeric entry may be used to denote the last digit of the skill level ("O" or "0").

Note: Professional Development Proficiency Code is awarded to SGM/CSM. The SGM branch, HRC manages the Professional Development Proficiency Code. Additional information on Professional Development Proficiency Codes is in AR 611-21.

Reference: None

DA Form 2166-9-2, part I: block f.—Unit, Org, Station, ZIP Code or APO, Major Command

Action required: Enter the rated NCO's unit, organization, station, zip code or APO, and Major Command in the order listed on the NCOER.

Note. The Wizard application associated with the electronic form within the EES may not automatically enter deployed unit data; however, it may be manually changed on the NCOER. USAR must include the appropriate Major USAR command and/or USAR General Officer Command.

—The address should reflect the rated NCO's location as of the "THRU" date of the NCOER. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit's address with duty at (abbreviated "w/dy at") the Soldier's deployed unit location.

Reference: None

DA Form 2166-9-2, part I: block g—Status Code

Action required: For USAR or ARNG, enter component status code as follows:

Table 3-6
Administrative data for DA Form 2166-9-2—Continued

- IRR—individual ready reserve (or IRR—MOB for mobilized IRR Soldier).
- IMA—individual mobilization augmentee (or IMA—MOB for mobilized IMA Soldiers).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
- TPU—troop program unit.
- ADOS—active duty for operational support.
- AGR—active guard reserve.
- MOB—mobilized Soldier.
- CO—ADOS—contingency operations-active duty for operational support.
- ADOS—RC—active duty for operational support-Reserve Component.
- M—DAY—man-day ARNG traditional Soldiers.

For RA leave blank.

Reference: None

DA Form 2166-9-2, part I: block h—UIC

Action required: Enter the rated NCO's unit identification code (UIC).

Note. This code can be automatically populated by using the Wizard application within the electronic form within the EES, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 2166-9-2, part I: block g—Reason for Submission

Action required: Enter the appropriate NCOER code and reason that identify why the NCOER is being prepared for submission.

Reference: Table 3-16

DA Form 2166-9-2, part I: block h—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last NCOER to the date of the event causing the current NCOER to be written. The rating period is that period within the period covered during which the rated NCO serves in the same position under the same rater who is writing the NCOER. The period covered and the rating period will always end on the same date (the "THRU" date of the NCOER). The beginning date of the rating period may not be the same as the "FROM" date of the NCOER. For example, an NCO departs on PCS on 1 July and is given a "Change of Rater" NCOER with a "THRU" date of 30 June. After 5 days in travel and 20 days on leave, the NCO reports for duty on 26 July. On 1 November, the NCO is assigned to a new position and changes rater; he or she is given a "Change of Rater" NCOER. The period covered on this NCOER would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" NCOERs will be the day before the change. For rated NCOs signing out on transition leave, the "THRU" date will be the rated NCO's final duty day in the assigned duty position before transition leave begins. Use the "YYYYMMDD" format for "FROM" and "THRU" dates. NCOERs will be rendered for regular Army when: (1) reversion to NCO status after serving as a commissioned or warrant officer, (2) reentry on active duty after a break in service, or (3) the date of the Army Board for Correction of Military Records memorandum that approves reinstatement of a promotion.

Reference: None

DA Form 2166-9-2, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the "rating period" and dividing the number of days in the rating period by 30.

Note. Do not use the number of days in the entire "period covered" by the NCOER. Subtract all nonrated time. If 15 or more days are left after dividing the rating period by 30, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 2166-9-2, part I: block l—Nonrated Codes

Action required: Enter the appropriate codes from table 3-17. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block k are not required for ARNG IRR and IMA Soldiers not on active duty.

Reference: Table 3-17

DA Form 2166-9-2, part I: block m—Number of Enclosures

Action required: Enter the number of enclosures. If there are no enclosures, enter "0" or leave blank. Possible enclosures include—

- Supplementary Reviewer's comments.
- 30-day "Relief for Cause" waiver memorandum.
- Memorandum for "Relief for Cause" NCOER directed by other than the rating officials.
- DCS, G-1 waiver of compliance with AR 600-9

Reference: AR 623-3

Table 3-6
Administrative data for DA Form 2166-9-2—Continued

DA Form 2166-9-2, part I: block n—Rated NCO's Email Address (official .gov or .mil)

Action required: Enter the rated NCO's official .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

3-9. Part II, authentication

Part II is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. To facilitate the rated NCO in signing the NCOER after authentication by the rating officials, the NCOER can be signed and dated by each individual in the rating chain up to 14 days prior to the "THRU" date of the NCOER; however, the NCOER cannot be forwarded to HQDA until the "THRU" date of the NCOER.

Note: Rating officials' names may automatically populate by entering SSNs (or DOD ID numbers) with the Wizard application associated with the electronic form within the EES. The following rules apply:

- a. The supplementary reviewer's signature and date cannot be before the senior rater's signature.
 - b. The senior rater's signature and date cannot be before the rater's signature.
 - c. The rated NCO's signature and date cannot be before the rater's or senior rater's signature.
-

Table 3-7
Authentication for DA Form 2166-9-2

DA Form 2166-9-2, part II: blocks a (1 through 6)—Rater's Information

Action required: Enter the rater's information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the "THRU" date of the NCOER. A "P" is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in ".gov" or ".mil" will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- Note. The rater's signature and date are required on the completed NCOER.*
- For raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy "USN," U.S. Air Force "USAF," U.S. Marine Corps "USMC," U.S. Coast Guard "USCG" in the PMOSC/Branch block in part II, block a5. For example, a U.S. Navy captain would be entered as "CAPT" in the rank block and "USN" in the PMOSC/branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, "SES" will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter, "DAC" as PMOSC/Branch; for civilians of other Services within DOD, enter "CIV" as the PMOSC/Branch.
- For service members of allied forces serving as a rater (under exceptional circumstances), enter the rater's country or country abbreviation in parentheses after their name (for example, (AU), (Italy), and (GBR)). Allied forces raters of U.S. Army NCOs will require an international rater ID issued by HRC (Evaluations branch). Once issued, this identification number will be inserted within the SSN data field. Requests for an international rater identification number will be submitted to HRC (Evaluations branch) (see app B for contact information and address). The request will include: justification, allied forces rater's complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army NCO/Officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.

Note: Allied forces rating officials may not have the ability to access EES or sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.

Reference: None

DA Form 2166-9-2, part II: blocks b (1 through 6)—Senior Rater's Information

Action required: Enter the senior rater's information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification

Table 3-7
Authentication for DA Form 2166-9-2—Continued

- number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the NCOER. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter “GO.” The two-character branch entry will not be “GS.”
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the PMOSC/Branch block in part II, block b5. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the PMOSC /branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter, “DAC” as PMOSC/Branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC/Branch.
- The senior rater will sign the NCOER even if he or she is unable to evaluate the rated NCO due to lack of qualification.
Note. Using the Wizard application of the electronic form within EES, senior raters who lack minimum rating qualification will check the “NO” box in response to the question “Have you been the senior rater for this NCO for at least 60 days?” to enter the statement “I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days” in part V, block b, leaving all other portions of part V blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated NCO is 90 days for USAR TPU, DIMA, and drilling IRR NCOs and ARNG NCOs.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and b.

Reference: None

DA Form 2166-9-2, part II: blocks c (1 through 7)—Supplementary Reviewer’s information

Action required: A documented supplementary review will be performed by a Uniformed Army Advisor, in the rank of SGM/CSM, CW3 through CW5, or CPT and above, designated in the NCOs rating chain, senior to the senior rater:

- (1) When a senior rater within the rated NCOs rating chain is an NCO in the rank of MSG/1SG.
 - (2) When a senior rater within the rated NCOs rating chain is a warrant officer in the rank of WO1 through CW2.
 - (3) When a senior rater within the rated NCOs rating chain is an Army Officer in the rank of 2LT through 1LT.
 - (4) When there are no uniformed Army designated rating officials for the rated NCO.
 - (5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of SSG through MSG/1SG.
 - (6) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of WO1 through CW2.
 - (7) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 2LT through 1LT.
 - (8) For all “Relief for Cause” evaluation reports when the senior rater is the individual directing the relief.
 - (9) For all “Relief for Cause” evaluation reports directed by an individual other than the rating officials.
- As an exception, CSMS serving at the USASMA as Director, Sergeants Major Course or Director, Staff and Faculty may perform supplementary reviews for any NCO that their Deputy Director senior rates, without regard to date of rank. Additionally, the Commandant and Deputy Commandant at USASMA, both nominative CSMS (TDA remarks code “8C”), may serve as supplementary reviewer on any NCOER for which the Director, Sergeants Major Course, or Director, Staff and Faculty, serves as senior rater.
 - The senior rater will mark “Yes” or “No” in block c1 to identify if the NCOER requires a supplementary review.
 - If the “Yes” box is marked in part II, block c1, Enter the supplementary reviewer’s information - name (last, first, MI, suffix) in capital letters/ /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/signature/validation date official . gov or .mil email address.
 - The rank entry will be current as of the “THRU” date of the NCOER. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
 - For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter “GO.” The two-character branch entry will not be “GS.”
 - Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
 - The supplementary reviewer may prepare an enclosure to the NCOER. If necessary, the supplementary reviewer will comment upon the accuracy or clarity of the completed NCOER.
 - If the supplementary reviewer determines the NCOER is accurate and comments are not necessary, they will indicate so by selecting the “NO” in part II, block c4 and sign in part II, block c5 with no added comments necessary. If the supplementary reviewer determines comments are necessary, the reviewer will select “YES” in part II, block c4 of the NCOER and prepare and attach an enclosure to the NCOER and sign in part II, block c5.
 - Comments will not include evaluative statements about the rated NCO or statements that amplify, paraphrase, or endorse the ratings of

Table 3-7
Authentication for DA Form 2166-9-2—Continued

the other members of the rating chain.

— When required, the supplementary reviewer's signature and date will be annotated on the completed NCOER.

Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.

Note: Using the electronic NCOER within the EES will allow the supplementary reviewer to generate a memorandum as a built-in enclosure to the NCOER, when required.

Reference: AR 623-3, paragraph 2-8

DA Form 2166-9-2, part II: block d1—Counseling Dates

Action required: Enter the actual dates of counseling as documented on DA Form 2166-9-1A (YYYYMMDD). When counseling dates are omitted, the senior rater will enter a statement in part V, block b explaining why counseling was not accomplished. The absence of counseling will not be used as the sole basis for an appeal. However, the lack of counseling may be used to help support other claims made in an appeal.

Reference: None

DA Form 2166-9-2, part II: block d2—Rated NCO's Signature

Action required: The rated NCO will sign and date the NCOER after it has been completed and signed by the rater and senior rater in the rating chain.

— The rated NCO acknowledges that he or she has seen the completed NCOER and verifies the accuracy of administrative data in part I (except part I, block m), the rating officials and counseling dates in part II, the duty description in part III, and the APFT and height and weight entries in part IV, block a and block b. This action increases administrative accuracy of the NCOER since the rated NCO is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated NCO based on inaccurate administrative data. Any administrative errors noted by the rated NCO will be brought to the attention of the rating officials and corrected prior to his or her signature. It is important that rated NCOs and rating officials clearly understand that the rated NCO's signature does not constitute agreement or disagreement with the evaluations of the rater and/or senior rater. Rating officials will ensure that the rated NCO is aware of the redress process.

— If the rated NCO is physically unavailable to sign his or her NCOER (and the NCOER cannot be forwarded to them to sign), unable to sign the NCOER digitally or manually, or refuses to sign the NCOER for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the Wizard application associated with the electronic form within the Evaluation Entry System, the senior rater will check the appropriate "NO" box response to the question "Is the rated Soldier available for signature?" or the comment "Rated Soldier refused to sign." The applicable statement will then be entered in part V, block b ("Soldier unavailable for signature" and/or "Soldier refused to sign").

Note. If the rated NCO's signature is left blank in block d2, and the Wizard application associated with the electronic form within the Evaluation Entry System is not used to enter the appropriate status, the EES may not allow the NCOER to be submitted. A NCOER stating that the NCO cannot sign due to CAC issues is unacceptable, and such NCOERs will not be processed.

Reference: None

3-10. Part III, duty description

Part III provides for the duty description of the rated NCO. Rating officials are responsible to ensure the duty description information is factually correct. The rater enters this information and the rated NCO verifies it. The duty description—

- a. Is an outline of the normal requirements of the specific duty position.
- b. Should show type of work required rather than frequently changing tasks.
- c. Is essential to performance counseling and evaluation. It is used during the first counseling session to tell the rated NCO what the duties of the position are and what needs to be emphasized.
- d. May be updated during the rating period.
- e. Is used at the end of the rating period to record what was important about the duties.

Table 3-8
Duty description for DA Form 2166-9-2

DA Form 2166-9-2, part III: block a—Principal Duty Title

Action required: Enter principal duty title that matches the unit force management document or that most accurately reflects actual duties performed.

Reference: None

Table 3–8**Duty description for DA Form 2166–9–2—Continued**

DA Form 2166–9–2, part III: block b—Duty MOSC

Action required: Enter duty military occupational specialty code (MOSC (at least five characters but no more than nine). If ASI and/or language skill identifier are required, the duty MOSC will be either seven or nine characters; if the position does not require ASI or language skill identifier only five characters will be used. In cases where the rated NCO is filling an officer position, enter the enlisted MOSC that best matches the officer position.

Reference: None

DA Form 2166–9–2, part III: block c—Daily Duties and Scope

Action required: Enter the most important routine duties and responsibilities in a series of phrases, starting with action words, separated by semicolons, and ending in a period. Use the present tense to identify what the rated NCO is supposed to do in his or her duty position. Unless changes occurred during the rating period, the duty description on the NCOER should be the same as the one on the DA Form 2166–9–1A. Scope should include the number of people supervised, equipment, facilities, dollars involved, and any other routine duties and responsibilities critical to mission accomplishment.

Reference: None

DA Form 2166–9–2, part III: block d—Areas of Special Emphasis

Action required: Enter areas of special emphasis and/or appointed duties as a list of tasks and/or duties, separated by semicolons, and ending with a period. This portion is most likely to change during the rating period. It should include the most important items that applied at any time during the rating period.

Reference: None

DA Form 2166–9–2, part III: block e—Appointed Duties

Action required: Enter duties appointed to the NCO not normally included in the duty description.

Note. For ARNG AGR Soldiers assigned as readiness NCO or training NCO, enter both the NCO's TOE or TDA assignment and the full-time support title, such as chief of a division, branch, or section, or firing battery or readiness NCO. Include comments about both the position duties and the full-time support duties in blocks c through e.

Reference: None

3–11. Part IV, Performance Evaluation, Professionalism, Attributes, and Competencies

Part IV provides an assessment of a rated NCO's professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how individuals behave in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are critical attributes that define a leader's character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective NCO Corps. Attributes and core leader competencies are on the DA Form 2166–9 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all NCOs. Comments throughout the DA Form 2166–9–2 NCOER within Part IV utilize bullet format. Additionally, rater's will annotate a box check selection of "MET STANDARD," "EXCEEDED STANDARD," "FAR EXCEEDED STANDARD," or "DID NOT MEET STANDARD" when assessing the rated NCOs compliance with organizational and Army standards aligned with attributes and core leader competencies.

a. "MET STANDARD" "DID NOT MEET STANDARD", "EXCEEDED STANDARD", and "FAR EXCEEDED STANDARD". The rater will check either "MET STANDARD", "DID NOT MEET STANDARD", "EXCEEDED STANDARD", or "FAR EXCEEDED STANDARD" when assessing the rated NCOs performance in part IV, blocks c through h. Raters will base each entry on whether or not the rated NCO meets or does not meet the standard for each particular attribute and competencies.

(1) *Did not meet standard.* Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

(2) *Met standard.* Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a

positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.

(3) *Exceeded standard.* Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and his/her Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, typically demonstrated by the upper third of NCOs of the same grade.

(4) *Far exceeded standard.* Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and his/her Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; demonstrated by the best of the upper third of NCOs of the same grade.

(5) *Qualitative and substantiated bullet comments.* Are used to explain areas where a rated NCO is particularly strong or needs improvement. Brief definitions of the Army's attributes and core leader competencies are annotated on the NCOER, part IV, blocks c through h. Further information is found in ADRP 6–22 and ADP 6–22.

b. Bullet comments. Bullet comments are mandatory regardless of the box check rating given (at least one bullet will be entered in each block of c through i). Standardized rules apply to bullet comments on NCOER. Bullet comments will—

(1) Be short, concise, to the point. Bullets will not be longer than two lines, preferably one, and no more than one bullet to a line.

(2) Start with action words (verbs) or possessive pronouns (his or her); personal pronouns (he or she) may be used; use past tense when addressing how the NCO performed and his or her contributions made during the rating period.

(3) Be double-spaced between bullets.

(4) Be preceded by a small letter “o” to designate the start of the comment. Each bullet comment must start with a small letter unless it is a proper noun (name) that is usually capitalized.

(5) Support the box checks by rating officials.

(6) Use a specific example only once; therefore, the rater must decide under which attribute and/or competencies the bullet fits best (or is most applicable). See table 3–9 for DA Form 2166–9–2 NCOER attributes and competencies instructions.

Table 3–9

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166–9–2

DA Form 2166-9-2, part IV: block a—APFT

Action required: In the space after the word “APFT” the rater will enter “PASS” or “FAIL” and the date (YYYYMMDD) of the most recent record APFT administered by the unit; it will be within the 12-month period prior to the “THRU” date of NCOER. However, the APFT date does not have to fall within the period covered by the NCOER. If the NCO was unable to participate in the most recent record APFT (for example, due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

— For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter “PASS” or “FAIL” for the alternate APFT as prescribed by health care personnel and the date of the APFT. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the rated Soldier's profile is required.

— For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason it has been left blank.

— Soldiers with temporary profiles at the time of the unit's record APFT will enter “PROFILE” and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the “THRU” date of the NCOER.

— Sample entries are “PASS 20150414,” “FAIL 20150507,” or “PROFILE 20150302.” APFT numerical scores will not be entered for a required date entry.

— The rater will address a “FAIL” entry for APFT in block c. Bullet comments for “FAIL” entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards of AR 350–1.

— Make a comment on “PROFILE” entries only if the rated NCO's ability to perform his or her assigned duties is affected.

— The rater will explain the absence of an APFT entry in block a. If the APFT has not been taken within 12 months of the “THRU” date of the NCOER the APFT data entry will be left blank and the rater will provide an explanation in the provided comments section. In accordance with AR 40–501, an APFT is not required for pregnant NCOs.

— For pregnant NCOs who have not taken the APFT within the last 12 months due to pregnancy, temporary profiles, and/or convalescent leave, the rater will enter the following statement within the comments section: “Exempt from APFT requirement in accordance with AR 40–501.”

Note. When using the Wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.

— In accordance with AR 350–1, NCOs 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile, unless a current profile exists.

Table 3–9

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166–9–2—Continued

- Additionally, NCOs 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600–9. If no APFT is taken, leave the APFT entry blank and make a comment addressing the blank APFT entry stating, “NCO exempt from APFT requirement in accordance with AR 350–1.”
- Deployed units unable to administer the APFT due to mission or conditions will annotate NCOERs with the following statement: “NCO unable to take the APFT during this period due to deployment for combat operations/contingency operations.” In accordance with AR 350–1, upon return from deployment, NCOs will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG NCOs.
Note. NCOs are not exempt from complying with height and weight requirements of AR 600–9.
- No comment pertaining to NCOs who meet Army minimum standards for APFT but fail to meet unit standards will be mentioned.
- NCOs who meet Army minimum standards for APFT but fail to meet unit standards will not be given rating of “DID NOT MEET STANDARDS” within block d. “PRESENCE” for physical fitness if such rating is based solely on the failure to meet unit APFT standards.

Reference: AR 350–1, AR 40–501, AR 600–9 and standardized rules for bullet comments (see para 3–11).

DA Form 2166-9-2, part IV: block b—Height/Weight

Action required: In the space after “Height/Weight” the rater will enter the rated NCO’s height and weight as of the unit’s last record weigh-in. If there is no unit weigh-in during the period covered by the NCOER, the rater will enter the NCO’s height and weight as of the “THRU” date of the NCOER. An entry of “YES” or “NO” will be placed in the space next to the weight to indicate compliance or noncompliance with AR 600–9. Sample entries are: “72/180 YES” or “68/205 NO.”

- For NCOs 60 years of age and older, who must remain in compliance with height and weight standards, the “Height/Weight” entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- The rater will enter a “YES” for NCOs who meet the table screening weight or are in compliance with the body composition standards of AR 600–9, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600–9, within the comments section. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO” entry is still required because medical waivers to weight control standards are not permitted for NCOER purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant NCOs, the entire entry is left blank. The rater will enter the following statement: “Exempt from weight control standards of AR 600–9.”
Note. When using the Wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.
- Rating officials will not use the word “pregnant,” or refer to an NCO’s pregnancy in any manner when completing the NCOER.
- For NCOs with major limb loss, the entire entry is left blank. The rater will enter the following statement in the comments section: “Exempt from weight control standards of AR 600-9.” Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the NCOER.
- For rated NCOs having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in the comments section, “Rated NCO has a DCS, G–1 waiver of compliance with AR 600–9.” In such cases, a copy of the DCS, G–1 approval memo will be submitted as an enclosure to the NCOER.
- Unless the rated NCO has an approved request for a DCS, G–1 waiver of compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the NCO is deployed for combat or contingency operations. This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600–9 and standardized rules for bullet comments (see para 3-11)

DA Form 2166-9-2, part IV: block c—Character

Action required: Encompasses elements internal and central to the leader’s core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right, and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Rating officials will comment on how well the rated NCO promoted a climate of dignity and respect and adherence to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated NCO made toward—

1. Promoting the personal and professional development of subordinates.
2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated NCO to foster a climate of dignity and respect and adherence to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated NCO—

1. Committed an act of sexual harassment or sexual assault;
2. Failed to report a sexual harassment or sexual assault;
3. Failed to respond to a complaint or report of sexual harassment or sexual assault; or

Table 3-9**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-2—Continued**

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

For NCOs who are found with substantiated SHARP, EO, and/or EEO complaints resulting from an AR 15-6 investigation or other official investigation by military or civil authorities, a “DID NOT MEET STANDARD” entry will be annotated in Part IV, block c. and a bullet comment “does not support SHARP, EO, and EEO” will be annotated by the rater in Part IV block c comments section. Additionally, the senior rater will annotate a bullet comment in Part V, block b.

Note: Additional comments may be explained and entered in part IV, blocks d through h (if required).

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Bullet comments provided will refer to a specific value and be included in the narrative (for example, “o solid, trustworthy NCO whose integrity is beyond reproach”). A list of Army Values and their definitions follow (a more detailed explanation is available in ADRP 6-22).

1. *Loyalty:* Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. *Duty:* Fulfills obligations (professional, legal, and moral).
3. *Respect:* Treats people as they should be treated.
4. *Selfless service:* Puts the welfare of the Nation, the Army, and subordinates’ priorities before self.
5. *Honor:* Adheres to the Army’s publicly declared code of values.
6. *Integrity:* Does what is right, legally and morally.
7. *Personal courage:* Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person’s point of view, to identify with, and enter into another person’s feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person’s situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier’s selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army’s heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training, but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one’s own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization’s key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-2, part IV: block d—Presence

Action required: Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader’s outward appearance, demeanor, actions, and words. Presence incorporates a leader’s effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit’s ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life’s stressors repeatedly to thrive in an era of high operational tempo.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6-22.

DA Form 2166-9-2, part IV: block e—Intellect

Action required: Draws on the mental tendencies and resources that shape conceptual abilities applied to one’s duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended as well as intended consequences, helping leaders anticipate the second- and third-order effects of their actions. The conceptual components affecting an Army leader’s intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second- and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge,

Table 3–9**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166–9–2—Continued**

and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6–22.

DA Form 2166-9-2, part IV: block f—Leads

Action required: Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Note: Rating officials may provide additional comments (if needed) evaluating the rated NCO on how well the rated NCO promoted a climate of dignity and respect and adherence to requirements of SHARP.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. At the direct level, a platoon leader knows what a battalion commander wants done, because the lieutenant understands the commander's intent two levels up. The intent creates a critical link between the organizational and direct leadership levels.

Extends influence: Beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Leads by example: Living by the Army Values and the Warrior Ethos that best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6–22.

DA Form 2166-9-2, part IV: block g—Develops

Action required: Developing people and the organization with a long-term perspective requires leaders who:

- *Create a positive environment* that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.
- *Seek self-improvement.* To master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment.
- *Invest adequate time and effort* to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
- *Act as stewards of the profession,* making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.
- The rater will comment on how well the NCO promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the NCOER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated NCO adherence to requirements of SHARP.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6–22.

Table 3–9**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166–9–2—Continued**

DA Form 2166-9-2, part IV: block h—Achieves

Action required: Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization’s capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This, combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals, allows for accomplishing missions consistently and ethically.

Reference: Standardized rules for bullet comments (see para 3-11), ADRP 6-22, and ADP 6–22.

DA Form 2166-9-2, part IV: — Rater Overall Performance

Action required: — The rater will enter the total number of Army NCOs, of the same rank, he or she currently rates.

— The rater makes an assessment of the rated NCO’s overall performance when compared with all other NCOs of the same rank the rater has previously rated or currently has in his or her rated population. This performance is evaluated in terms of the majority of NCOs in the rater’s population. If the performance assessment is consistent with the majority of NCOs in that grade the rater will place an “X” in the “MET STANDARD” box. If the rated NCO’s performance exceeds that of the majority of NCOs in the rater’s population, the rater will place an “X” in the “EXCEEDED STANDARD” or “FAR EXCEEDED STANDARD” box. (The intent is for raters to use these two boxes when identifying the upper third of NCOs for each rank, with further stratification of the upper third of NCOs placed within the “FAR EXCEEDED STANDARD” box). If the rated NCO’s performance is below the majority of NCOs in the rater’s population for that grade and the rater believes the rated NCO should be further developed, and/or the rated NCOs performance has not met standards required of an Army NCO, the rater will place an “X” in the “DID NOT MEET STANDARD” box.

Note. Promotable NCOs with a “P” after their current rank, serving in an authorized position of the next higher rank, are considered as NCOs of the next higher rank in making comparative assessments with contemporaries.

— An assessment of “DID NOT MEET STANDARD” in previous blocks c through h by the rater results in only an overall performance assessment of “MET STANDARD” or “DID NOT MEET STANDARD” able to be rendered by the rater.

— Bullet comments are mandatory and should compare the performance of the rated NCO with his or her contemporaries during the evaluation period (see AR 623-3). The focus is on performance results achieved and the manner by which they were achieved.

— In cases when the rater is serving as both rater and senior rater in accordance with AR 623-3, he or she will complete part IV, blocks a through c and part IV, block j. No box check assessment within Part IV, block i will be made. Part IV, block j “COMMENTS” will be used to cite the authority for the rating official to act as both rater and senior rater. Example of appropriate comments for part IV, block j “COMMENTS” include “Serving as rater and senior rater in accordance with AR 623–3, paragraphs 2–19” (or para 2–20 as applicable) or “Serving as rater and senior rater in accordance with the CG, HRC exception to policy.” when applicable.) The rater may add additional comments addressing the performance of the rated NCO within part IV, blocks d through h, as these sections are optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166–9–2 in both the rater’s and senior rater’s signature blocks. Additional instructions applicable to this situation are described below in table 3–10.

Reference: None

3–12. Part V, Senior rater overall potential

a. Part V is the senior rater’s assessment of the rated NCO’s potential. Part V is intended to capitalize on the senior rater’s additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated NCO’s DA Form 2166–9–1A is intended to assist the senior rater and supplement more traditional means of evaluation, such, as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated NCO, they must meet the minimum requirements in AR 623–3.

c. In evaluating the whole NCO, the senior rater makes an assessment of the NCO’s potential for promotion to the next higher grade when compared with other NCOs. In doing so, a senior rater must carefully manage the percentage of their “MOST QUALIFIED” ratings and must, therefore, be aware of when an NCO will be in a zone of consideration for promotion or school selection in order to render “MOST QUALIFIED” ratings accordingly.

d. Senior raters who meet minimum qualification criteria established in AR 623–3 will complete part V. An NCO whose rank on DA Form 2166–9–2 is a “P” (a promotable NCO serving in an authorized position of the next higher rank) receiving a rating in part V, block a will be profiled against the senior rater’s profile for the next higher rank. An example is a SSG(P) serving in an authorized SFC position will be profiled against the senior rater’s SFC profile population. If the SSG(P) is not serving in an authorized SFC position, he or she will be profiled against the senior rater’s SSG profile population.

e. Senior rater comments are written in narrative format. In preparing comments, senior raters will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier’s potential. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Authorized

abbreviations, brevity codes, and/or acronyms found in AR 25–52 may be used in 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. Additional information can be found in AR 623–3.

Table 3–10
Senior rater for DA Form 2166–9–2

DA Form 2166-9-2, part V: block a—Potential Box Check

Action required: The senior rater will enter the total number of Army NCOs of the same rank as the rated NCO he or she currently senior rates.

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

Note. Promotable NCOs with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as NCOs of the next higher rank in making comparative assessments with contemporaries. On "Senior Rater Profile" reports, the rated NCO will be profiled against the next higher rank.

- This potential is evaluated in terms of the majority of NCOs in the population. If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will place an "X" in the "HIGHLY QUALIFIED" box. If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, the senior rater will place an "X" in the "MOST QUALIFIED" box. (The intent is for the senior rater to use this box to identify the upper tier of NCOs for each rank.) In order to maintain a credible profile, the senior rater must have no more than 24 percent of the ratings of a rank in the "MOST QUALIFIED" top box. More than 24 percent in the "MOST QUALIFIED" top box will result in a "HIGHLY QUALIFIED" label. If the rated NCO's potential is adequate, but beneath the majority of NCOs in the senior rater's population for that grade and the senior rater believes the rated NCO possesses potential with further development, the senior rater will place an "X" in the "QUALIFIED" box. If the rated NCO's potential is below the majority of NCOs in the senior rater's population for that grade and the senior rater does not believe the rated NCO should be retained, the senior rater will place an "X" in the "NOT QUALIFIED" box.

Note. In order to maintain a credible profile, the senior rater must have no more than 24 percent of the ratings in the "MOST QUALIFIED" box for a given rank. An NCOER with a "MOST QUALIFIED" rating that causes a senior rater's profile to exceed 24 percent "MOST QUALIFIED" ratings will be processed with a "HIGHLY QUALIFIED" HQDA electronically generated label; however, it will be charged against the senior rater's profile as a "MOST QUALIFIED" NCOER, and a documented senior rater profile misfire will occur.

- To ensure maximum rating flexibility when rating populations change or to preclude a "MOST QUALIFIED" top box check from inadvertently profiling as a "HIGHLY QUALIFIED" rating, senior raters need to maintain a "cushion" in the number of "MOST QUALIFIED" ratings given rather than impending to the line of 24 percent.
- To provide senior raters flexibility when initially establishing a credible "Senior Rater Profile" report, the first single "MOST QUALIFIED" top box report processed against the senior rater's profile at that grade will generate a "MOST QUALIFIED" label, regardless of the actual profile. All other reports will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the report is processed.

Reference: None

DA Form 2166-9-2, part V: block —Senior Rater Comments

Action required: Narrative comments by the senior rater on rated NCO's potential are mandatory. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph.

- When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated NCO, they will enter the following statement in part V, block b: "I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days." In these cases, all other entries in part V, blocks a, b, and c will be left blank.

Note. Senior raters will use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement in part V, block b, if he or she is unable to evaluate the rated NCO.

- The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated NCO's potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments and level of assignments, and/or retention, when applicable.
- Anything unusual about the DA Form 2166–9–2 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated NCO's signature; signatures are out of sequence on the report).
- Senior raters will comment on any substantiated finding, in an Army or Department of Defense investigation or inquiry, that a rated NCO: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
- The senior rater must address the lack of a rated NCO's signature on the NCOER.
Note. If the rated NCO is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 2166–9–2, for any reason, the senior rater will either resolve the problem or use the Wizard application associated with the electronic form within the Evaluation Entry System to automatically enter the appropriate statement explaining why the rated NCO's signature is left blank in part II, block d2. Otherwise, the EES may not allow the report to be submitted. A report stating that the NCO cannot sign due to CAC issues is unacceptable and such reports will not be processed. The report will not be delayed because it lacks the rated NCO's signature.
- If the senior rater's evaluation is based on infrequent observation of the rated NCO, this fact should be noted.

Table 3-10
Senior rater for DA Form 2166-9-2—Continued

— In cases when the senior rater is also serving as the rater, he or she will complete parts IV, blocks a through c and part IV, block j “COMMENTS” in the rater’s portion of the DA Form 2166-9-2. No box check assessment within Part IV, block i will be made. Part IV, block j “COMMENTS” will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block i “COMMENTS” include “Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19” (or para 2-20 as applicable) or “Serving as rater and senior rater in accordance with the CG, HRC exception to policy.” when applicable.) The senior rater may add additional comments within part IV, blocks d through h, capturing the rated NCOs performance, as these are optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166-9-2 in both the rater’s and senior rater’s signature blocks.

Reference: None

DA Form 2166-9-2, part V: block c—Successive Assignments and Broadening Assignment

Action required: The senior rater will list two different successive duty positions and one broadening assignment (by job title) in which the rated NCO is best suited to serve based on the rated NCO’s demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for NCOERs which the rater indicates “DOES NOT MEET STANDARD” box check selection in Part IV, block i and the senior rater indicates a rating of “NOT QUALIFIED.” On these DA Form 2166-9-2 only, no successive or broadening duty assignments are required.

Reference: DA Pam 600-25

Section V

DA Form 2166-9-3 (NCO Evaluation Report (CSM/SGM))

3-13. Part I, administrative data

Part I is for administrative data, including identification and contact information of the rated NCO, unit data, the period covered, number of rated months, nonrated time codes, and the reason for submission of DA Form 2166-9-3. See table 3-16 for a list of codes and reasons for submitting NCOERs and table 3-17 for the codes and reasons for nonrated periods. See table 3-11 for DA Form 2166-9-3 NCO evaluation report administrative data instructions.

Note: Using the Wizard application associated with the electronic form within the EES allows the rater to automatically populate the administrative data in part I of the NCOER based on the most current data from the authoritative database at HQDA.

Table 3-11
Administrative data for DA Form 2166-9-3

DA Form 2166-9-3, part I: block a—Name

Action required: Enter the rated NCO’s full name (last, first, MI, suffix) in capital letters.

Reference: None

DA Form 2166-9-3, part I: block b—SSN

Action required: Enter the rated NCO’s full nine-digit SSN (for example, 123-45-6789). As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD ID (located on the reverse side of the CAC).

Reference: None

DA Form 2166-9-3, part I: block c—Rank

Action required: Enter the rated NCO’s three-letter rank abbreviation, not pay grade (for example, “SGM”) as of the “THRU” date.

— If the rated NCO is a master sergeant (MSG) or first sergeant (1SG) selected for promotion and/or attendance to USASMA who is serving in a position authorized for the next higher rank, a “P” will be placed after his or her current rank (for example, “MSGP” and “1SGP”).

— If the rated NCO has been selected for promotion/and is not assigned to a position authorized for the higher rank, no “P” will be entered after the rank (for example 1SG selected for attendance to USASMA assigned as First Sergeant will enter “1SG” and be evaluated on DA Form 2166-9-2.)

Note: Master sergeants and first sergeants selected for attendance to USASMA and serving in positions authorized for the next higher rank (that is, SGM/CSM) will be assessed on DA Form 2166-9-3.

— If the rated NCO has been frocked to the next higher rank and is serving in a position authorized for the rank to which they are frocked, enter the frocked rank. (for example, MSG frocked to SGM and serving in an authorized sergeant major position, enter “SGM”)

— If the rated NCO was reduced to specialist or below, enter the reduced rank. Reduction to another NCO grade does not require an NCOER.

Note: For ARNG NCOs, promotions and/or promotable status’ dates are determined by state adjutant generals; these dates are not based on release dates of promotion selection lists (see AR623-3 para 2-11.)

Reference: AR 600-20

Table 3–11
Administrative data for DA Form 2166–9–3—Continued

DA Form 2166-9-3, part I: block d—Date of Rank

Action required: Enter the date of rank (YYYYMMDD) for the rated NCO's rank as of the "THRU" date on the report. If the NCO is promotable but not yet promoted, the date of rank is for the current rank. If the rated NCO was reduced to specialist or below, enter the effective date of the reduction. If the rated NCO is frocked to the next higher rank, enter the frocked date of rank.

Reference: None

DA Form 2166-9-3, part I: block e—PMOSC

Action required: Enter up to nine digits of the PMOS (for example, 19E30, 42A5MA3, and 18Z5PW9LA). If an NCO does not possess an ASI or language identifier, only a five-digit (military occupational specialty (MOS) is entered. An alpha or numeric entry may be used to denote the last digit of the skill level ("O" or "0").

Note: Professional Development Proficiency Code is awarded to SGM/CSM. The SGM branch, HRC manages the Professional Development Proficiency Code. Additional information on Professional Development Proficiency Codes is in AR 611-21.

Reference: None

DA Form 2166-9-3, part I: block f—Unit, Org, Station, ZIP Code or APO, Major Command

Action required: Enter the rated NCO's unit, organization, station, zip code or APO, and Major Command in the order listed on the NCOER. *Note. The Wizard application associated with the electronic form within the Evaluation Entry System may not automatically enter deployed unit data; however, it may be manually changed on the NCOER. USAR must include the appropriate Major USAR command and/or USAR General Officer Command.*

—The address should reflect the rated NCO's location as of the "THRU" date of the NCOER. While in a deployed status, indicate the data of the deployed unit. Alternatively, indicate the parent unit's address with duty at (abbreviated "w/dy at") the Soldier's deployed unit location.

Reference: None

DA Form 2166-9-3, part I: block g—Status Code

Action required: For USAR or ARNG, enter component status code as follows:

- IRR—individual ready reserve (or IRR—MOB for mobilized IRR Soldier).
- IMA—individual mobilization augmentee (or IMA—MOB for mobilized IMA Soldiers).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldiers).
- TPU—troop program unit.
- ADOS—active duty for operational support.
- AGR—active guard reserve.
- MOB—mobilized Soldier.
- CO—ADOS—contingency operations-active duty for operational support.
- ADOS—RC—active duty for operational support-Reserve Component.
- M—DAY—man-day ARNG traditional Soldiers.

For RA leave blank.

Reference: None

DA Form 2166-9-3, part I: block h—UIC

Action required: Enter the rated NCO's unit identification code (UIC).

Note. This code can be automatically populated by using the Wizard application within the electronic form within the EES, if unknown. If it is incorrect, it can be manually corrected.

Reference: None

DA Form 2166-9-3, part I: block g—Reason for Submission

Action required: Enter the appropriate NCOER code and reason that identify why the NCOER is being prepared for submission.

Reference: Table 3–16

DA Form 2166-9-3, part I: block h—Period Covered

Action required: The period covered is the period extending from the day after the "THRU" date of the last NCOER to the date of the event causing the current NCOER to be written. The rating period is that period within the period covered during which the rated NCO serves in the same position under the same rater who is writing the NCOER. The period covered and the rating period will always end on the same date (the "THRU" date of the NCOER). The beginning date of the rating period may not be the same as the "FROM" date of the NCOER. For example, an NCO departs on PCS on 1 July and is given a "Change of Rater" NCOER with a "THRU" date of 30 June. After 5 days in travel and 20 days on leave, the NCO reports for duty on 26 July. On 1 November, the NCO is assigned to a new position and changes rater; they are given a "Change of Rater" NCOER. The period covered on this NCOER would be 1 July ("FROM" date) to 31 October ("THRU" date); however, the rating period would be from 26 July to 31 October.

Note. The "THRU" date on "Change of Rater" and "Change of Duty" NCOERs will be the day before the change. For rated NCOs signing out on transition leave, the "THRU" date will be the rated NCO's final duty day in the assigned duty position before transition leave begins. Use the "YYYYMMDD" format for "FROM" and "THRU" dates.

Table 3-11
Administrative data for DA Form 2166-9-3—Continued

NCOERs will be rendered for regular Army when: (1) reversion to NCO status after serving as a commissioned or warrant officer, (2) reentry on active duty after a break in service, or (3) the date of the Army Board for Correction of Military Records memorandum that approves reinstatement of a promotion.

Reference: None

DA Form 2166-9-3, part I: block k—Rated Months

Action required: The number of rated months is computed by counting the total number of calendar days in the “rating period” and dividing the number of days in the rating period by 30.

Note. Do not use the number of days in the entire “period covered” by the NCOER.

Subtract all nonrated time. If 15 or more days are left after dividing the rating period by 30, count them as a whole month (for example, 130 days is 4 months and 10 days and is entered as 4 months; 140 days is 4 months and 20 days and is entered as 5 months).

Reference: None

DA Form 2166-9-3, part I: block l—Nonrated Codes

Action required: Enter the appropriate codes from table 3-17. If there was no qualifying nonrated time during the period covered, leave blank. Entries in part I, block k are not required for ARNG IRR and IMA Soldiers not on active duty.

Reference: Table 3-17

DA Form 2166-9-3, part I: block m—Number of Enclosures

Action required: Enter the number of enclosures. If there are no enclosures, enter “0” or leave blank. Possible enclosures include—

- Supplementary Reviewer’s comments.
- 30-day “Relief for Cause” waiver memorandum.
- Memorandum for “Relief for Cause” NCOER directed by other than the rating officials.
- DCS, G-1 waiver of compliance with AR 600-9

Reference: AR 623-3

DA Form 2166-9-3, part I: block n—Rated NCO’s Email Address (official .gov or .mil)

Action required: Enter the rated NCO’s official .gov or .mil email address. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Reference: None

3-14. Part II, authentication

Part II is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. To facilitate the rated NCO in signing the NCOER after authentication by the rating officials, the NCOER can be signed and dated by each individual in the rating chain up to 14 days prior to the “THRU” date of the NCOER; however, the NCOER cannot be forwarded to HQDA until the “THRU” date of the NCOER.

- a. The supplementary reviewer’s signature and date cannot be before the senior rater’s signature.
- b. The senior rater’s signature and date cannot be before the rater’s signature.
- c. The rated NCO’s signature and date cannot be before the rater’s or senior rater’s signature.

Table 3-12
Authentication for DA Form 2166-9-3

DA Form 2166-9-3, part I: blocks a (1 through 6)—Rater’s Information

Action required: Enter the rater’s information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a Department of Defense (DOD) issued Common Access Card (CAC) may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the NCOER. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter “GO”. The two-character branch entry will not be “GS”.
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

Note. The rater’s signature and date are required on the completed NCOER.

Table 3-12
Authentication for DA Form 2166-9-3—Continued

- For raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the PMOSC/Branch block in part II, block a5. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the PMOSC/branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA civilians only enter, “DAC” as PMOSC/Branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC/Branch.
- For service members of allied forces serving as a rater (under exceptional circumstances), enter the rater’s country or country abbreviation in parentheses after his or her name (for example, (AU), (Italy), (GBR), and so forth). Allied forces raters of U.S. Army NCOs will require an international rater identification number issued by HRC, Evaluations branch. Once issued, this identification number will be inserted within the SSN data field. Requests for an international rater identification number will be submitted to HRC (Evaluations branch) (see app B for contact information and address). The request will include: justification, allied forces rater’s complete name, rank, country, duration of report period covered, contact information to include a valid email address. See figure 2-10 for a sample request. Additionally, the request may identify a delegate, who will provide assistance to the allied forces rating official on evaluation matters. The delegate will be a CAC enabled U.S. Army NCO/Officer or DA civilian able to access EES. Once approved, HRC will issue the allied forces rating official an international rater identification number.
Note: Allied forces rating officials may not have the ability to access EES or sign evaluations digitally with CAC signature. In these instances, reports will require signature by manual methods and submission of reports through authorized alternate methods (see AR 623-3). Other entered data remains the same.

Reference: None

DA Form 2166-9-3, part I: blocks b (1 through 6)—Senior Rater’s Information

Action required: Enter the senior rater’s information - name (last, first, MI, suffix) in capital letters/SSN (for example, 123-45-6789)/signature/validation date /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/official .gov or .mil email address.

- As an alternative to providing an SSN, individuals possessing a DOD issued CAC may provide their unique 10-digit DOD identification number (located on the reverse side of the CAC).
- The rank entry will be current as of the “THRU” date of the NCOER. A “P” is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.
- For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter “GO.”. The two-character branch entry will not be “GS.”
- Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in “.gov” or “.mil” will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).
- For senior raters of other Services, in addition to their rank, enter their branch of Service (for example, U.S. Navy “USN,” U.S. Air Force “USAF,” U.S. Marine Corps “USMC,” U.S. Coast Guard “USCG” in the PMOSC/Branch block in part II, block b5. For example, a U.S. Navy captain would be entered as “CAPT” in the rank block and “USN” in the PMOSC/branch block. Civil service raters will enter the pay grade (GM/GG/GS/UA-#) in the rank block; for members of the senior executive service, “SES” will be entered in lieu of a rank or pay grade. For members authorized by an exception to policy or who are not in any category above, enter appropriate grade level.
- For DA Civilians only enter, “DACs” as PMOSC/Branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC/Branch.
- The senior rater will sign the NCOER even if they are unable to evaluate the rated NCO due to lack of qualification.
Note. Using the Wizard application of the electronic form within EES, senior raters who lack minimum rating qualification will check the “NO” box in response to the question “Have you been the senior rater for this NCO for at least 60 days?” to enter the statement “I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days” in part V, block b, leaving all other portions of part V blank.
Note. The minimum required time for senior rater eligibility to evaluate the rated NCO is 90 days for USAR TPU, DIMA, and drilling IRR NCOs and ARNG NCOs.
- If the senior rater is serving both as the rater and senior rater, the senior rater’s information and signature will be entered in part II, blocks a and b.

Reference: None

DA Form 2166-9-3, part I: blocks c (1 through 7)—Supplementary Reviewer’s information

Action required: A documented supplementary review will be performed by a Uniformed Army Advisor, in the rank of SGM/CSM, CW3 through CW5, or CPT and above, designated in the NCOs rating chain, senior to the senior rater:

- (1) When a senior rater within the rated NCOs rating chain is a warrant officer in the rank of WO1 through CW2.
- (2) When a senior rater within the rated NCOs rating chain is an Army officer in the rank of 2LT through 1LT.
- (3) When there are no uniformed Army designated rating officials for the rated NCO.
- (4) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of WO1 through CW2.
- (5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 2LT through 1LT.
- (6) For all “Relief for Cause” evaluation reports when the senior rater is the individual directing the relief.

Table 3-12
Authentication for DA Form 2166-9-3—Continued

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

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

—The senior rater will mark "Yes" or "No" in block c1 to identify if the NCOER requires a supplementary review.

—If the "Yes" box is marked in part II, block c1, Enter the supplementary reviewer's information - name (last, first, MI, suffix) in capital letters/ /rank/ PMOSC (warrant officer or NCO) or branch (commissioned officer)/organization/duty assignment/signature/validation date official .gov or .mil email address.

—The rank entry will be current as of the "THRU" date of the NCOER. A "P" is added to the rank only if the rater is promotable and serving in a position authorized for the next higher rank. Rating officials who have been frocked to a higher rank and are serving in the authorized position for the frocked rank will enter the frocked rank.

—For Branch, officers enter the two-character basic branch abbreviation or Voluntary Transfer Incentive Program (VTIP)/Career Field Designation (CFD). For general officers, enter "GO." The two-character branch entry will not be "GS."

—Use of an official email address as the permanent email address will facilitate HQDA contact concerning the NCOER, should the need arise. As a minimum, an email address ending in ".gov" or ".mil" will be used. If the official .mil email address exceeds the allowable character space, enter the address prior to the @ symbol, (for example, marry.longemailthatexceedstextspace@).

—The supplementary reviewer may prepare an enclosure to the NCOER. If necessary, the supplementary reviewer will comment upon the accuracy or clarity of the completed NCOER.

—If the supplementary reviewer determines the NCOER is accurate and comments are not necessary, they will indicate so by selecting the "NO" in part II, block c4 and sign in part II, block c5 with no added comments necessary. If the supplementary reviewer determines comments are necessary, the reviewer will select "YES" in part II, block c4 of the NCOER and prepare and attach an enclosure to the NCOER and sign in part II, block c5.

—Comments will not include evaluative statements about the rated NCO or statements that amplify, paraphrase, or endorse the ratings of the other members of the rating chain.

—When required, the supplementary reviewer's signature and date will be annotated on the completed NCOER.

Note. Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.

Note: Using the electronic NCOER within the EES will allow the supplementary reviewer to generate a memorandum as a built-in enclosure to the NCOER when required.

Reference: AR 623-3, paragraph 2-8

DA Form 2166-9-3, part I: block d1—Counseling Dates

Action required: Enter the actual dates of counseling as documented on DA Form 2166-9-1A (YYYYMMDD). When counseling dates are omitted, the senior rater will enter a statement in part V, block b explaining why counseling was not accomplished. The absence of counseling will not be used as the sole basis for an appeal. However, the lack of counseling may be used to help support other claims made in an appeal.

Reference: None

DA Form 2166-9-3, part I: block d2—Rated NCO's Signature

Action required: The rated NCO will sign and date the NCOER after it has been completed and signed by the rater and senior rater in the rating chain.

— The rated NCO acknowledges that he or she has seen the completed NCOER and verifies the accuracy of administrative data in part I (except part I, block m), the rating officials and counseling dates in part II, the duty description in part III, and the APFT and height and weight entries in part IV, block a and block b. This action increases administrative accuracy of the NCOER since the rated NCO is most familiar with and interested in this information. Confirmation of the administrative data also will normally preclude an appeal by the rated NCO based on inaccurate administrative data. Any administrative errors noted by the rated NCO will be brought to the attention of the rating officials and corrected prior to his or her signature. It is important that rated NCOs and rating officials clearly understand that the rated NCO's signature does not constitute agreement or disagreement with the evaluations of the rater and/or senior rater. Rating officials will ensure that the rated NCO is aware of the redress process.

— If the rated NCO is physically unavailable to sign his or her NCOER (and the NCOER cannot be forwarded to them to sign), unable to sign the NCOER digitally or manually, or refuses to sign the NCOER for any reason, the senior rater will either resolve the problem or explain the reason for the lack of a signature. Using the Wizard application associated with the electronic form within the EES, the senior rater will check the appropriate "NO" box response to the question "Is the rated Soldier available for signature?" or the comment "Rated Soldier refused to sign." The applicable statement will then be entered in part V, block b ("Soldier unavailable for signature" and/or "Soldier refused to sign").

Note. If the rated NCO's signature is left blank in block d2, and the Wizard application associated with the electronic form within the EES is not used to enter the appropriate status, the EES may not allow the NCOER to be submitted. A NCOER stating that the NCO cannot sign due to CAC issues is unacceptable, and such NCOERs will not be processed.

Reference: None

3–15. Part III, duty description

Part III provides for the duty description of the rated NCO. Rating officials are responsible to ensure the duty description information is factually correct. The rater enters this information and the rated NCO verifies it. The duty description—

- a. Is an outline of the normal requirements of the specific duty position.
- b. Should show type of work required rather than frequently changing tasks.
- c. Is essential to performance counseling and evaluation. It is used during the first counseling session to tell the rated NCO what the duties of the position are and what needs to be emphasized.
- d. May be updated during the rating period.
- e. Is used at the end of the rating period to record what was important about the duties.

Table 3–13
Duty description for DA Form 2166–9–3

DA Form 2166–9–3, part III: block a—Principal Duty Title

Action required: Enter principal duty title that matches the unit force management document or that most accurately reflects actual duties performed.

Reference: None

DA Form 2166–9–3, part III: block b—Duty MOSC

Action required: Enter duty military occupational specialty code (MOSC) (at least five characters but no more than nine). If ASI and/or language skill identifier are required, the duty MOSC will be either seven or nine characters; if the position does not require ASI or language skill identifier only five characters will be used. In cases where the rated NCO is filling an officer position, enter the enlisted MOSC that best matches the officer position.

Reference: None

DA Form 2166–9–3, part III: block c—Daily Duties and Scope

Action required: Enter the most important routine duties and responsibilities in a series of phrases, starting with action words, separated by semicolons, and ending in a period. Use the present tense to identify what the rated NCO is supposed to do in their duty position. Unless changes occurred during the rating period, the duty description on the NCOER should be the same as the one on the DA Form 2166–9–1A. Scope should include the number of people supervised, equipment, facilities, dollars involved, and any other routine duties and responsibilities critical to mission accomplishment.

Reference: None

DA Form 2166–9–3, part III: block d—Areas of Special Emphasis

Action required: Enter areas of special emphasis and/or appointed duties as a list of tasks and/or duties, separated by semicolons, and ending with a period. This portion is most likely to change during the rating period. It should include the most important items that applied at any time during the rating period.

Reference: None

DA Form 2166–9–3, part III: block e—Appointed Duties

Action required: Enter duties appointed to the NCO not normally included in the duty description

Note. For ARNG AGR Soldiers assigned as readiness NCO or training NCO, enter both the NCO's TOE or TDA assignment and the full-time support title, such as chief of a division, branch, or section, or firing battery or readiness NCO. Include comments about both the position duties and the full-time support duties in blocks c through e..

Reference: None

3–16. Part IV, Performance Evaluation, Professionalism, Attributes, and Competencies

Part IV provides an assessment of a rated NCO's professionalism, performance, and adherence to attributes and core leader competencies (including the APFT and the height and weight entries) focusing on what a leader is and what a leader does. Part IV contains the dimensions of the Army's leadership doctrine that define professionalism for the Army. Attributes are characteristics that are an inherent part of an individual's total core, physical, and intellectual aspects. Attributes shape how individuals behave in their environment and are aligned to identity, presence, and intellectual capacity. Core leader competencies emphasize the roles, functions, and activities of what leaders do. Core leader competencies are complemented by attributes that distinguish high performing leaders of character. Core leader competencies apply across all levels of the organization, across leader positions, and throughout careers. Army Values, Empathy, and Warrior Ethos are critical attributes that define a leader's character and apply across all ranks, positions, branches, and specialties. These attributes are critical to maintain public trust and confidence in the Army and the qualities of leadership and management needed to maintain an effective NCO Corps. Attributes and core leader competencies are on the DA Form 2166–9 series to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all NCOs. Comments throughout the DA Form 2166–9–3 NCOER utilize

narrative format. Additionally, rater's annotate box check selections of "MET STANDARD", "EXCEEDED STANDARD", "FAR EXCEEDED STANDARD" and "DID NOT MEET STANDARD" when assessing the rated NCOs compliance with organizational and Army standards aligned with attributes and core leader competencies.

a. "MET STANDARD", "DID NOT MEET STANDARD," "EXCEEDED STANDARD," and "FAR EXCEEDED STANDARD." The rater will check either "MET STANDARD," "DID NOT MEET STANDARD," "EXCEEDED STANDARD," or "FAR EXCEEDED STANDARD" when assessing the rated NCOs character and overall performance in part IV, blocks c and e. Raters will base their selection on whether or not the rated NCO meets or does not meet the standard based on the following:

(1) *DID NOT MEET STANDARD*. Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in their charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

(2) *MET STANDARD*. Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in their charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.

(3) *EXCEEDED STANDARD*. Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and their Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, typically demonstrated by the upper third of NCOs of the same grade.

(4) *FAR EXCEEDED STANDARD*. Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and their Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; demonstrated by the best of the upper third of NCOs of the same grade.

(5) Qualitative and substantiated narrative comments are used to explain areas where a rated NCO is particularly strong or needs improvement. Brief definitions of the Army's attributes and core leader competencies are annotated on the NCOER, part IV, blocks c. and d. Further information is found in ADRP 6-22 and ADP 6-22.

b. *Narrative comments*. Narrative comments are mandatory. Rating officials will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's performance as related to attributes and core leader competencies. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Authorized abbreviations, brevity codes, and/or acronyms found in AR 25-52 may be used in 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. Additional information can be found in AR 623-3. Support the box checks by rating officials. See table 3-14 for DA Form 2166-9-3 NCOER attributes and competencies instructions.

Table 3-14

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-3

DA Form 2166-9-3, part IV: block a—APFT

Action required: In the space after the word "APFT" the rater will enter "PASS" or "FAIL" and the date (YYYYMMDD) of the most recent record APFT administered by the unit; it will be within the 12-month period prior to the "THRU" date of NCOER. However, the APFT date does not have to fall within the period covered by the NCOER. If the NCO was unable to participate in the most recent record APFT (for example, due to a profile or pregnancy), his or her status at that time will be documented appropriately. The APFT for Soldiers without profiles consists of push-ups, sit-ups, and a 2-mile run.

- For Soldiers with permanent and temporary profiles who have been cleared to take an alternate APFT, enter "PASS" or "FAIL" for the alternate APFT as prescribed by health care personnel and the date of the APFT. The APFT may include an alternate authorized aerobic event (walk, bike, or swim). No comment about the rated Soldier's profile is required.
- For Soldiers with permanent profiles whose profiles prohibit them from taking the APFT, the entry will be left blank and the rater will explain the reason it has been left blank.
- Soldiers with temporary profiles at the time of the unit's record APFT will enter "PROFILE" and the date (YYYYMMDD) the profile was awarded. The date of the profile must be within 12 months prior to the "THRU" date of the NCOER.
- Sample entries are "PASS 20150414," "FAIL 20150507," or "PROFILE 20150302." APFT numerical scores will not be entered for a required date entry.
- The rater will address a "FAIL" entry for APFT in block c. Bullet comments for "FAIL" entries may include the reason(s) for failure and/or note any progress toward meeting physical fitness standards of AR 350-1.
- Make a comment on "PROFILE" entries only if the rated NCO's ability to perform his or her assigned duties is affected.

Table 3-14**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-3—Continued**

- The rater will explain the absence of an APFT entry in block a. If the APFT has not been taken within 12 months of the “THRU” date of the NCOER the APFT data entry will be left blank and the rater will provide an explanation in the provided comments section. In accordance with AR 40-501, an APFT is not required for pregnant NCOs.
- For pregnant NCOs who have not taken the APFT within the last 12 months due to pregnancy, temporary profiles, and/or convalescent leave, the rater will enter the following statement within the comments section: “Exempt from APFT requirement in accordance with AR 40-501.”
Note. When using the Wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.
- In accordance with AR 350-1, NCOs 55 years of age and older have the option of taking the three-event APFT or an alternate APFT, but they will not be considered as being on profile, unless a current profile exists.
- Additionally, NCOs 60 years of age and older have the option of not taking the APFT; however, they must maintain a personal physical fitness program approved by a physician and remain within compliance of height and weight standards of AR 600-9. If no APFT is taken, leave the APFT entry blank and make a comment addressing the blank APFT entry stating, “NCO exempt from APFT requirement in accordance with AR 350-1.”
- Deployed units unable to administer the APFT due to mission or conditions will annotate NCOERs with the following statement: “NCO unable to take the APFT during this period due to deployment for combat operations/contingency operations.” In accordance with AR 350-1, upon return from deployment, NCOs will be administered a record APFT no earlier than 3 months for RA and 6 months for USAR and ARNG NCOs.
Note. NCOs are not exempt from complying with height and weight requirements of AR 600-9.
- No comment pertaining to NCOs who meet Army minimum standards for APFT but fail to meet unit standards will be mentioned.
- NCOs who meet Army minimum standards for APFT but fail to meet unit standards will not be given rating of “DID NOT MEET STANDARDS” within block d. “PRESENCE” for physical fitness if such rating is based solely on the failure to meet unit APFT standards.

Reference: AR 350-1, AR 40-501, and AR 600-9

DA Form 2166-9-3, part IV: block b—Height/Weight

Action required: : In the space after “Height/Weight” the rater will enter the rated NCO’s height and weight as of the unit’s last record weigh-in. If there is no unit weigh-in during the period covered by the NCOER, the rater will enter the NCO’s height and weight as of the “THRU” date of the NCOER. An entry of “YES” or “NO” will be placed in the space next to the weight to indicate compliance or noncompliance with AR 600-9. Sample entries are: “72/180 YES” or “68/205 NO.”

- For NCOs 60 years of age and older, who must remain in compliance with height and weight standards, the “Height/Weight” entry will be completed. Soldiers 60 years of age or older are only exempted from the requirement to take the APFT.
- The rater will enter a “YES” for NCOs who meet the table screening weight or are in compliance with the body composition standards of AR 600-9, as determined by tape measurement and the use of DA Form 5500 or DA Form 5501.
- The rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600-9, within the comments section. These comments should indicate the reason for noncompliance. Medical conditions may be cited for noncompliance; however, the “NO” entry is still required because medical waivers to weight control standards are not permitted for NCOER purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant NCOs, the entire entry is left blank. The rater will enter the following statement: “Exempt from weight control standards of AR 600-9.”
Note. When using the Wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.
- Rating officials will not use the word “pregnant,” or refer to an NCO’s pregnancy in any manner when completing the NCOER.
- For NCOs with major limb loss, the entire entry is left blank. The rater will enter the following statement in the comments section: “Exempt from weight control standards of AR 600-9.” Major limb loss is defined as an amputation above the ankle or above the wrist, which includes full hand and/or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Rating officials will not refer to the major limb loss in any manner when completing the NCOER.
- For rated NCOs having an approved DCS, G-1 waiver, the entire entry will be left blank. The rater will enter the following statement in the comments section, “Rated NCO has a DCS, G-1 waiver of compliance with AR 600-9.” In such cases, a copy of the DCS, G-1 approval memo will be submitted as an enclosure to the NCOER.
- Unless the rated NCO has an approved request for a DCS, G-1 waiver of compliance with AR 600-9, the height and weight standards of AR 600-9 apply at all times, even when the NCO is deployed for combat or contingency operations. This entry will not be left blank other than the exceptions indicated above.

Reference: AR 600-9

DA Form 2166-9-3, part IV: block c—Character

Action required: Encompasses elements internal and central to the leader’s core consisting of Army Values, empathy, Warrior Ethos/Service Ethos, and discipline. Character is comprised of a person’s moral and ethical qualities, helps determine what is right, and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences. It determines who people are, how they act, helps determine right from wrong, and choose what is right.

Rating officials will comment on how well the rated NCO promoted a climate of dignity and respect and adherence to the requirements of the SHARP Program. This assessment should identify, as appropriate, any significant actions or contributions the rated NCO made toward—

1. Promoting the personal and professional development of subordinates.

Table 3-14

Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-3—Continued

2. Ensuring the fair, respectful treatment of unit personnel.
3. Establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.
4. This assessment should also identify any failures by the rated NCO to foster a climate of dignity and respect and adherence to the SHARP Program.

Raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that the rated NCO—

1. Committed an act of sexual harassment or sexual assault;
2. Failed to report a sexual harassment or sexual assault;
3. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
4. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

For NCOs who are found with substantiated SHARP, EO, and/or EEO complaints resulting from an AR 15-6 investigation or other official investigation by military or civil authorities, a “DID NOT MEET STANDARD” entry will be annotated in Part IV, block c. and a bullet comment “does not support SHARP, EO, and EEO” will be annotated by the rater in Part IV block c comments section. Additionally, the senior rater will annotate a bullet comment in Part V, block b.

Note: additional comments may be explained and entered in part IV, block d (if required).

Army Values: Consist of the principles, standards, and qualities considered essential for successful Army leaders. They are fundamental to helping Soldiers and make the right decision in any situation. Army Values are an important leader responsibility and an expected standard. Bullet comments provided will refer to a specific value and be included in the narrative (for example, “o solid, trustworthy NCO whose integrity is beyond reproach”). A list of Army Values and their definitions follow (a more detailed explanation can be found in ADRP 6-22).

1. *Loyalty:* Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
2. *Duty:* Fulfills obligations (professional, legal, and moral).
3. *Respect:* Treats people as they should be treated.
4. *Selfless service:* Puts the welfare of the Nation, the Army, and subordinates’ priorities before self.
5. *Honor:* Adheres to the Army’s publicly declared code of values.
6. *Integrity:* Does what is right, legally and morally.
7. *Personal courage:* Faces fear, danger, or adversity (physical and moral).

Empathy: The ability to see something from another person’s point of view, to identify with, and enter into another person’s feelings and emotions. Empathy allows the leader to anticipate what others are experiencing and to try to envision how decisions or actions affect them. Army leaders display empathy when they genuinely relate to another person’s situation, motives, and feelings. Empathy does not necessarily mean sympathy for another, but identification that leads to a deeper understanding.

Warrior Ethos and Service Ethos: The professional attitudes and beliefs that characterize the American Soldier. They reflect a Soldier’s selfless commitment to the Nation, mission, unit, and fellow Soldiers. These ethos are developed and sustained through discipline, commitment to the Army Values, and pride in the Army’s heritage. The key to the Warrior and Service Ethos are not only physical, tactical, and technical training, but also a mindset developed through purposeful mental preparation.

Discipline: At the individual level this is primarily self-discipline, the ability to control one’s own behavior. Discipline expresses what the Army Values require—willingly doing what is right. Discipline involves attending to the details of organization and administration, which are less urgent than an organization’s key tasks, but necessary for efficiency and long-term effectiveness. Examples include an effective Command Supply Discipline Program, Organizational Inspection Programs, and training management.

Reference: ADRP 6-22 and ADP 6-22

Reference: N/A

DA Form 2166-9-3, part IV: block d—Narrative comments, which demonstrate performance regarding organizational and strategic attributes and competencies in the rated NCO’s current duty position.

Action required: The rater must quantitatively and qualitatively paint a word picture using short, concise, narrative format capturing the rated NCO’s performance as it relates to the Leadership Requirements Model, which convey expectations Army leaders strive to meet.

The rater will comment on how well the NCO promoted/supported a healthy workplace environment conducive to the growth and development of personnel when completing the NCOER.

Note: Rating officials may provide additional comments (if needed) evaluating the rated NCO on how well the rated NCO promoted a climate of dignity and respect and adherence to requirements of SHARP.

Presence – Is the impression a leader makes on others contributing to his or her success in leading them. This impression is the sum of a leader’s outward appearance, demeanor, actions, and words. Presence incorporates a leader’s effectiveness when demonstrating military and profession bearing, fitness, confidence, and resilience.

Military and professional bearing: Projecting a commanding presence, a professional image of authority.

Fitness: Having sound health, strength, and endurance, which sustain emotional health and conceptual abilities under prolonged stress.

Confidence: Projecting self-confidence and certainty in the unit’s ability to succeed in whatever it does; able to demonstrate composure and outward calm through steady control over emotion.

Resilience: The psychological and physical capacity to bounce back from life's stressors repeatedly to thrive in an era of high operational tempo.

Intellect – Draws on the mental tendencies and resources that shape conceptual abilities applied to one's duties and responsibilities. Conceptual abilities enable effective problem solving and sound judgment before implementing concepts and plans. They help one think creatively and reason analytically, critically, ethically, and with cultural sensitivity to consider unintended, as well as intended consequences, helping leaders anticipate the second-order and third-order effects of their actions. The conceptual components affecting an Army leader's intellect include mental agility, sound judgment, innovation, interpersonal tact, and expertise.

Mental agility: Is a flexibility of mind, an ability to anticipate or adapt to uncertain or changing situations. Agility enables thinking through second-order and third-order effects when current decisions or actions are not producing the desired results.

Sound judgment: Is the capacity to assess situations shrewdly and to draw rational conclusions. Consistent good judgment enables leaders to form sound opinions and make reliable estimates and sensible decisions. Good judgment includes the ability to assess subordinates, peers, and the enemy for strengths and weaknesses to create appropriate solutions and action.

Innovation: Is the ability to introduce something new when needed or as opportunities exist. Being innovative includes creativity in producing original and worthwhile ideas. Innovative leaders tend to be inquisitive and good problem solvers. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking approaches and ideas by relying on intuition, experience, knowledge, and input from subordinates.

Interpersonal tact: Interacting with others depends on knowing what others perceive. It relies on accepting the character, reactions, and motives of oneself and others. Interpersonal tact combines these skills, along with recognizing diversity and displaying self-control, balance, and stability in situations.

Expertise: Is the special knowledge and skill developed from experience, training, and education. Domain knowledge is what leaders know about application areas used in their duties and positions. Leaders create and use knowledge in at least four domains. Tactical knowledge relates to accomplishing a designated objective through military means. Technical knowledge consists of the specialized information associated with a particular function or system. Joint knowledge is an understanding of Joint organizations, their procedures, and roles in national defense. Cultural and geopolitical knowledge is awareness of cultural, geographic, and political differences and sensitivities.

Leads – Encompasses five competencies: leads others, extends influence beyond the chain of command, builds trust, leads by example, and communicates.

Leads others: Measures the ability to influence Soldiers and DA civilians in the leader's organization. Leaders apply character, presence, and intellect to the core leader competencies while guiding others toward a common goal and mission accomplishment. Direct leaders influence others person-to-person, such as a team leader who instructs, encourages hard work, and recognizes achievement. Organizational and strategic leaders guide their organizations using indirect means of influence.

Extends influence beyond the chain of command: Involves influencing others when the leader does not have designated authority or when the leader's authority is not recognized by others. Influence refers to how people create and relay their messages, behaviors, and attitudes to affect the intentions, beliefs, behaviors, and attitudes of another person or group of people. Influence depends upon relationships where leaders build positive rapport and a relationship of mutual trust, making followers more willing to support requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding of a follower's perspective.

Builds trust: Trust encompasses reliance upon others, confidence in their abilities, and consistency in behavior. Trust builds over time through mutual respect, shared understanding, and common experiences. Communication contributes to trust by keeping others informed, establishing expectations, and developing commitments. Sustaining trust depends on meeting those expectations and commitments. Trust forms and fosters when leaders create a positive command climate by identifying areas of common interest and goals. Teams develop trust through cooperation, identification with other members, and contribution to the team effort.

Leads by example: Living by the Army Values and the Warrior Ethos best displays character and leading by example. It means putting the organization and subordinates above personal self-interest, career, and comfort. For the Army leader, it requires putting the lives of others above a personal desire for self-preservation.

Communicates: Ensures there is more than the simple transmission of information. It achieves a new understanding and creates new or better awareness. Communicating critical information clearly is an important skill to reach shared understanding of issues and solutions. It conveys thoughts, presents recommendations, bridges cultural sensitivities, and reaches consensus. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

Develops – Developing people and the organization with a long-term perspective requires leaders who:

- *Create a positive environment* that fosters esprit de corps and teamwork, promotes cohesion, and encourages initiative and acceptance of responsibility. A leader maintains a healthy balance between caring for people and their Families while focusing on the mission.
- *Seek self-improvement.* To master the profession at every level, a leader must make a full commitment to lifelong learning. Self-improvement requires self-awareness and leads to new skills necessary to adapt to changes in the leadership environment
- *Invest adequate time and effort* to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
- *Act as stewards of the profession,* making choices and taking actions that ensure that leaders in the future sustain an Army capable of performing its core functions.

Table 3-14**Part IV – Performance Evaluation, Professionalism, Attributes, and Competencies DA Form 2166-9-3—Continued**

Achieves – Focuses on accomplishing the mission. Mission accomplishment co-exists with an extended perspective towards maintaining and building the organization's capabilities. Achieving begins in the short-term by setting objectives. In the long-term, achieving requires getting results in pursuit of those objectives. Getting results focuses on structuring what to do to produce consistent results. Getting results embraces all actions to get the job done on time and to standard. Results are measured in how well the leader provided direction, guidance, and clear priorities, guiding teams in what needs to be done and how. This combined with monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals allows for accomplishing missions consistently and ethically.

Reference: ADRP 6-22 and ADP 6-22.

DA Form 2166-9-3, part IV: — Rater Overall Performance

Action required: — The rater will enter the total number of Army NCOs, of the same rank, he or she currently rates.

- The rater makes an assessment of the rated NCO's overall performance when compared with all other NCOs of the same rank the rater has previously rated or currently has in his or her rated population. This performance is evaluated in terms of the majority of NCOs in the rater's population. If the performance assessment is consistent with the majority of NCOs in that grade the rater will place an "X" in the "MET STANDARD" box. If the rated NCO's performance exceeds that of the majority of NCOs in the rater's population, the rater will place an "X" in the "EXCEEDED STANDARD" or "FAR EXCEEDED STANDARD" box. (The intent is for raters to use these two boxes when identifying the upper third of NCOs for each rank, with further stratification of the upper third of NCOs placed within the "FAR EXCEEDED STANDARD" box). If the rated NCO's performance is below the majority of NCOs in the rater's population for that grade and the rater believes the rated NCO should be further developed, and/or the rated NCO's performance has not met standards required of an Army NCO, the rater will place an "X" in the "DID NOT MEET STANDARD" box.

Note. Promotable NCOs with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as NCOs of the next higher rank in making comparative assessments with contemporaries.

- An assessment of "DID NOT MEET STANDARD" in previous block c by the rater results only in an overall performance assessment of "MET STANDARD" or "DID NOT MEET STANDARD" able to be rendered by the rater.
- Narrative comments are mandatory and should compare the performance of the rated NCO with his or her contemporaries during the evaluation period (see AR 623-3). The focus is on performance results achieved and the manner by which they were achieved.
- In cases when the rater is serving as both rater and senior rater in accordance with AR 623-3, he or she will complete part IV, blocks a through c and part IV, block f "COMMENTS". No box check assessment within Part IV, block e will be made. Part IV, block f "COMMENTS" will be used to cite the authority for the rating official to act as both rater and senior rater. Example of appropriate comments for part IV, block f "COMMENTS" include "Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19" (or para 2-20 as applicable) or "Serving as rater and senior rater in accordance with the CG, HRC exception to policy." when applicable.) The rater may add additional comments addressing the performance of the rated NCO within part IV, block d, as this section is optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166-9-3 in both the rater's and senior rater's signature blocks. Additional instructions applicable to this situation are described below in table 3-15.

Reference: None

3-17. Part V, Senior rater overall potential

a. Part V is the senior rater's assessment of the rated NCO's potential. Part V is intended to capitalize on the senior rater's additional experience, broad organizational perspective, and tendency to focus on the organizational requirements and actual performance results. Information on the rated NCO's DA Form 2166-9-1A is intended to assist the senior rater and supplement more traditional means of evaluation, such, as personal observation, reports and records, and other rating officials.

b. To ensure that the senior rater is a senior official qualified to evaluate the rated NCO, they must meet the minimum requirements in AR 623-3.

c. In evaluating the whole NCO, the senior rater makes an assessment of the NCO's potential for promotion to the next higher grade when compared with other NCOs. In doing so, a senior rater must carefully manage the percentage of their "MOST QUALIFIED" ratings and must, therefore, be aware of when an NCO will be in a zone of consideration for promotion or school selection in order to render "MOST QUALIFIED" ratings accordingly.

d. Senior raters who meet minimum qualification criteria established in AR 623-3 will complete part V. An NCO whose rank on DA Form 2166-9-3 is a "P" (a promotable NCO serving in an authorized position of the next higher rank) receiving a rating in part V, block a will be profiled against the senior rater's profile for the next higher rank. An example is a MSG(P) selected to attend USASMA and serving in an authorized SGM position will be profiled against the senior rater's SGM profile population. If the MSG(P) selected to attend USASMA and is not serving in an authorized SGM position, they will receive an NCOER on DA Form 2166-9-2 and be profiled against the senior rater's MSG profile population.

e. Senior rater comments are written in narrative format. In preparing comments, senior raters will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's potential. In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Authorized

abbreviations, brevity codes, and/or acronyms found in AR 25–52 may be used in 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. Additional information can be found in AR 623–3.

Table 3–15
Senior rater for DA Form 2166–9–3

DA Form 2166-9-3, part V: block a—Potential Box Check

Action required: — The senior rater will enter the total number of Army NCOs of the same rank as the rated NCO he or she currently senior rates.

— The senior rater makes an assessment of the rated NCO's overall potential when compared with all other NCOs of the same rank the senior rater has previously rated or currently has in his or her rated population.

Note. Promotable NCOs with a "P" after their current rank, serving in an authorized position of the next higher rank, are considered as NCOs of the next higher rank in making comparative assessments with contemporaries. On "Senior Rater Profile" reports, the rated NCO will be profiled against the next higher rank.

— This potential is evaluated in terms of the majority of NCOs in the population. If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will place an "X" in the "HIGHLY QUALIFIED" box. If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, the senior rater will place an "X" in the "MOST QUALIFIED" box. (The intent is for the senior rater to use this box to identify the upper tier of NCOs for each rank.) In order to maintain a credible profile, the senior rater must have no more than 24 percent of the ratings of a rank in the "MOST QUALIFIED" top box. More than 24 percent in the "MOST QUALIFIED" top box will result in a "HIGHLY QUALIFIED" label. If the rated NCO's potential is adequate, but beneath the majority of NCOs in the senior rater's population for that grade and the senior rater believes the rated NCO possesses potential with further development, the senior rater will place an "X" in the "QUALIFIED" box. If the rated NCO's potential is below the majority of NCOs in the senior rater's population for that grade and the senior rater does not believe the rated NCO should be retained, the senior rater will place an "X" in the "NOT QUALIFIED" box.

Note. In order to maintain a credible profile, the senior rater must have no more than 24 percent of the ratings in the "MOST QUALIFIED" box for a given rank. An NCOER with a "MOST QUALIFIED" rating that causes a senior rater's profile to exceed 24 percent "MOST QUALIFIED" ratings will be processed with a "HIGHLY QUALIFIED" HQDA electronically generated label; however, it will be charged against the senior rater's profile as a "MOST QUALIFIED" NCOER, and a documented senior rater profile misfire will occur.

— To ensure maximum rating flexibility when rating populations change or to preclude a "MOST QUALIFIED" top box check from inadvertently profiling as a "HIGHLY QUALIFIED" rating, senior raters need to maintain a "cushion" in the number of "MOST QUALIFIED" ratings given rather than impending to the line at 24 percent.

— To provide senior raters flexibility when initially establishing a credible "Senior Rater Profile" report, the first single "MOST QUALIFIED" top box report processed against the senior rater's profile at that grade will generate a "MOST QUALIFIED" label, regardless of the actual profile. All other reports will receive an HQDA electronically generated label that reflects the senior rater's profile at the time the report is processed.

Reference: None

DA Form 2166-9-3, part V: block —Senior Rater Comments

Action required: Narrative comments by the senior rater on rated NCO's potential are mandatory. Simply stating concurrence with the rater's evaluation does not fulfill the intent of this paragraph.

— When the senior rater has not been in the position the minimum number of days necessary to evaluate the rated NCO, he or she will enter the following statement in part V, block b: "I am unable to evaluate the rated NCO because I have not been the senior rater for the required number of days." In these cases, all other entries in part V, blocks a, b, and c will be left blank.

Note. Senior raters will use the Wizard application associated with the electronic form within the EES to automatically enter the appropriate statement in part V, block b, if he or she is unable to evaluate the rated NCO.

— The senior rater enters narrative comments in this block. Bullet comments are prohibited. Potential comments should primarily focus on the rated NCO's potential for promotion, command, schooling (military and civilian), broadening assignments, successive duty assignments and level of assignments, and/or retention, when applicable.

— Anything unusual about the DA Form 2166–9–3 will also be noted here (for example, APFT and height and weight data or explanatory comments, if not included; lack of rated NCO's signature; signatures are out of sequence on the report).

— Senior raters will comment on any substantiated finding, in an Army or DOD investigation or inquiry, that a rated NCO: (1) committed an act of sexual harassment or sexual assault; (2) failed to report a sexual harassment or assault; (3) failed to respond to a complaint or report of sexual harassment or sexual assault; (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.

— The senior rater must address the lack of a rated NCO's signature on the NCOER.

Note. If the rated NCO is physically unavailable to sign (and cannot have it forwarded to him or her to sign), unable to sign, or refuses to sign the DA Form 2166–9–3, for any reason, the senior rater will either resolve the problem or use the Wizard application associated with the electronic form within the Evaluation Entry System to automatically enter the appropriate statement explaining why the rated NCO's signature is left blank in part II, block d2. Otherwise, the EES may not allow the report to be submitted. A report stating that the NCO cannot sign due to CAC issues is unacceptable and such reports will not be processed. The report will not be delayed because it lacks the rated NCO's signature.

— If the senior rater's evaluation is based on infrequent observation of the rated NCO, this fact should be noted.

Table 3-15
Senior rater for DA Form 2166-9-3—Continued

— In cases when the senior rater is also serving as the rater, he or she will complete parts IV, blocks a through c and part IV, block f “COMMENTS” in the rater’s portion of the DA Form 2166-9-3. No box check assessment within Part IV, block e will be made. Part IV, block f “COMMENTS” will be used to cite the authority for the rating official to act as both rater and senior rater. (Appropriate comments for part IV, block f “COMMENTS” include “Serving as rater and senior rater in accordance with AR 623-3, paragraphs 2-19” (or para 2-20 as applicable) or “Serving as rater and senior rater in accordance with the CG, HRC exception to policy.” when applicable.) The senior rater may add additional comments within part IV, block d., capturing the rated NCOs performance, as this is optional for completion when serving as both rater and senior rater. Promotion potential comments will be entered in part V, block b. The senior rater will sign the DA Form 2166-9-3 in both the rater’s and senior rater’s signature blocks.

Reference: None

DA Form 2166-9-3, part V: block c—Successive Assignments and Broadening Assignment

Action required: The senior rater will list two different successive duty positions and one broadening assignment (by job title) in which the rated NCO is best suited to serve based on the rated NCO’s demonstrated potential, focusing on the next 3 to 5 years of service.

Note. An exception to this rule exists for NCOERs which the rater indicates “DOES NOT MEET STANDARD” box check selection in Part IV, block i and the senior rater indicates a rating of “NOT QUALIFIED.” On these DA Form 2166-9-3 only, no successive or broadening duty assignments are required.

Reference: DA Pam 600-25

Section VI

Rater Tendency and Senior Rater Profile Reports for Noncommissioned Officer Evaluation Reporting System

3-18. “Rater Tendency” report, Noncommissioned Officer Evaluation Reporting System, and Headquarters, Department of the Army electronically generated label

The “Rater Tendency” report provides statistical information on a rater’s assessments of NCOs, by rank, sequenced in the order of receipt at HQDA. It includes data on NCOs of all components (RA, USAR, and ARNG). To access the “Rater Tendency” report log in to the Evaluation Entry System website at: <https://evaluations.hrc.army.mil> and select “Evaluation Status and Management Tools (ERS)” button.

Note: Rated NCOs will not appear on the “Rater Profile” report, NCOs will appear on the “Rater Tendency” report; NCOs are not considered in the statistical data of the “Rater Profile” report, which is specific to OERs.

a. The “Rater Tendency” report, created by the application that processes NCOERs, maintains the historical data of “overall performance” assessments within Part IV of NCOERs rendered by raters on NCOs (SSG through CSM), separated by rank, for all components. The Rater Tendency Report shows rated NCOs’ names, sorted by rank, in the sequence of NCOER receipt date. Information from all HQDA-accepted NCOERs rendered by a rater is compiled in the “Rater Tendency” report by name and by rank. The rank in which a promotable rated NCO displays on the “Rater Tendency” report is determined by the rank entered in part I, block c of the NCOER. The information from this is used to record the information contained on the final individual NCOER containing the HQDA electronically generated label. The generated label displays the number of assessments, of “FAR EXCEEDED STANDARD,” “EXCEEDED STANDARD,” “MET STANDARD,” “DID NOT MEET STANDARD,” separated by grade along with the total reports for that grade on the final NCOER.

b. The HQDA electronically generated label within the rater overall performance box check in part IV on the NCOER compares the rater’s overall performance box check selection in part IV with his or her previous tendency at the time the rater selects “Lock” regarding his or her assessment selection to the NCOER, which is then verified at the time the NCOER processes at HQDA. When the NCOER cannot be completed within the EES, the NCOER compares the rater’s overall performance box check in part IV with their previous tendency at the time the NCOER processes at HQDA. This comparison generates a label that will contain total number of rendered assessments for the rated NCOs grade, rendered by the rater for each block assessment.

c. NCOER submission to HQDA must be monitored to ensure they are submitted in the desired sequence. Improperly sequenced NCOERs are not a basis for an appeal.

d. Raters will have one Tendency report with data for all NCOs rated (RA, USAR, and ARNG).

3-19. “Senior Rater Profile” report, Noncommissioned Officer Evaluation Reporting System, and Headquarters, Department of the Army electronically generated label

The “Senior Rater Profile” report provides statistical information on a senior rater’s assessments of officers and NCOs, by rank, sequenced in the order of receipt at HQDA. It includes data on officers and NCOs of all components (RA, USAR, and ARNG). To access the “Senior Rater Profile” report log in to the Evaluation Entry System website at: <https://evaluations.hrc.army.mil> and select “Evaluation Status and Management Tools (ERS)” button.

Note: A Senior Rater profile report lists data for both officers and NCOs of all components (RA, USAR, and ARNG). This paragraph is specific for content associated with the noncommissioned officer evaluation reporting system. Content specific to officers is discussed in chapter 2.

The “Senior Rater Profile” report, created by the application that processes NCOERs and maintains the data for senior rater NCOER profiles, shows rated NCO’s names, sorted by rank, in the sequence of NCOER receipt date. Information from all HQDA-accepted NCOERs rendered by a senior rater is compiled in the “Senior Rater Profile” report by name and by rank. The rank in which a promotable rated NCO will be profiled is determined by the rank entered in part I, block c of the NCOER. The information from this profile is reflected on individual reports on the HQDA electronically generated label.

a. The senior rater evaluation timeliness report is a section of the “Senior Rater Profile” report and consists of two parts. The first part compiles statistical information on evaluation report submissions, separated by rank, and displays the total number of reports submitted, the total number of OERs and NCOERs submitted on time, and the percentage of reports submitted on time.

b. The HQDA electronically generated label overlays the senior rater potential box check, part V, block a on the NCOERs for NCOs in the rank of staff sergeant (SSG) through command sergeant major (CSM) and compares the senior rater’s box check in part V, block a with their profile at the time the NCOER processes at HQDA. This comparison generates a label that will contain one of the following statements:

(1) “*MOST QUALIFIED*”: The number of ratings in the first box must not be more than 24 percent of all ratings in the profile for that rank.

(2) “*HIGHLY QUALIFIED*”: A rating in the fourth box regardless of the “Senior Rater Profile” report.

(3) “*QUALIFIED*”: A rating in the third box regardless of the “Senior Rater Profile” report.

(4) “*NOT QUALIFIED*”: A rating in the second box regardless of the profile or a rating in the first box when more than 24 percent of all ratings in the profile for that grade are in the first box.

(5) “*NOT EVALUATED*”: The senior rater does not meet minimum rating qualifications.

(6) “*NO BOX CHECK*”: A rating assessment not required for a selected grade/rank.

c. Senior raters must personally monitor the submission of NCOERs to HQDA to ensure they are submitted in the desired sequence. Improperly sequenced NCOERs are not a basis for an appeal.

d. Senior raters will have one profile with data for all NCOs and officers senior-rated (RA, USAR, and ARNG).

Section VII

Relief for Cause Reports and Addendum Procedures

3–20. “Relief for Cause” noncommissioned officer evaluation report instructions

If a rated NCO is officially relieved (AR 623–3), the following specific instructions apply to completing a “Relief for Cause” NCOER:

a. The rating official directing the relief will clearly explain the reason for relief.

b. When the rater directs the relief, this information will be entered in the following location:

(1) For raters of NCOs on DA Form 2166–9–1, entries will be in part IV, block i “COMMENTS”.

(2) For raters of NCOs on DA Form 2166–9–2, entry will be in part IV, block j “COMMENTS”.

(3) For raters on NCOs on DA Form 2166–9–3, entry will be in part IV, block f “COMMENTS”.

c. When the relieving official is the senior rater, the senior rater will clearly explain the reason for the relief in part V, block b “COMMENTS.”

d. When 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 (not to exceed one page) to the NCOER (see AR 623–3 for a sample memorandum of “Relief for Cause” directed by a nonrating official).

e. Regardless of who directs the relief, the rater will enter the comment, “The rated NCO has been notified of the reason for the relief” within the reference location annotated in paragraph b.

f. The minimum rater and senior rater qualifications and the minimum rating period are 30 rated days (60 rated days for USAR TPU, DIMA, and drilling IR NCOs and ARNG NCOs). The fundamental purpose of this restriction is to allow the rated NCO a sufficient period to react to performance counseling during each rating period. Authority to waive this 30-day minimum rating period and rater and senior rater qualification period in cases of misconduct is granted to a general officer in the chain of command or an officer having general courts-martial jurisdiction over the relieved NCO. The waiver approval will be in memorandum format and attached as an enclosure to the NCOER (see AR 623–3 for sample memorandum of 30-day minimum waiver).

g. The rater’s overall performance assessment in Part IV on NCOERs must reflect “DID NOT MEET STANDARD” or “MET STANDARD.” An assessment of “DID NOT MEET STANDARD” is consistent with a relief action and does not need further explanation. However, raters who select “MET STANDARD” must explain their recommendation and reasons in view of the action to relieve.

h. The senior rater's potential evaluation in part V, block a, of 2166-9 series NCOER must reflect "NOT QUALIFIED" or "QUALIFIED". A "NOT QUALIFIED" recommendation by the senior rater in part V, block a, is consistent with a relief action and does not need further explanation. However, senior raters who select "QUALIFIED" must explain their recommendation and reasons in view of the action to relieve.

i. Additionally, if the relief was directed by the senior rater or an individual other than the rating officials, the NCOER will be reviewed by the first Army officer in the organization or chain of supervision above the individual directing the relief. The reviewing official's information will be annotated on the completed NCOER, in part II, blocks c. Should the reviewing official provide comments, the reviewing official will select "YES" in block c4 and attach comments. See a sample supplementary review for "Relief for Cause" memorandum in figure 2-9.

Note. These documents are provided under the enclosure tab of the electronic OER (Wizard application associated with the electronic form within the EES).

j. The date of relief determines the "THRU" date of the NCOER. "Relief for Cause" NCOERs may be signed at anytime during the closing or following month of the NCOER.

k. When the rater is relieved, or when the rated NCO and the rater are concurrently relieved, the senior rater will complete the rater and senior rater portions of the NCOER for each of the rater's subordinates. Enter "rater relieved" in part V, block b and do not identify the relieved rater in part II, block a. (Refer to AR 623-3.)

3-21. Mandatory review of noncommissioned officer "Relief for Cause" reports

An additional review of "Relief for Cause" NCOERs is required when an NCO is officially relieved of duties and a "Relief for Cause" NCOER is subsequently prepared (see AR 623-3).

a. If the rater directed the relief, the senior rater will perform the review, provided he or she is an SGM/CSM, CW3-CW5 or an Army Officer in the rank of CPT or above. Otherwise, the first U.S. Army Soldier in the rank of SGM/CSM, CW3-CW5 or CPT or above, designated as the Uniformed Army Advisor in the organization or chain of supervision above the individual directing the relief will perform a supplementary review of the NCOER.

b. Reviewers of "Relief for Cause" NCOERs will—

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

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

(3) Ensure that the NCOER has been prepared as prescribed in AR 623-3 and this pamphlet.

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

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

(2) If the senior rater finds that the NCOER is unclear, contains errors of fact, or is otherwise in violation of AR 623-3, he or she will return the NCOER to the 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. When the NCOER has been corrected, it will be returned to the senior rater.

(3) If the senior rater is not a U.S. Army Soldier in the rank of SGM/CSM, CW3-CW5 or CPT or above, or if the relief was directed by the senior rater, or an individual other than the rating officials, the NCOER will be reviewed by the first U.S. Army Soldier in the rank of SGM/CSM, CW3-CW5 or CPT or above, (Uniformed Army Advisor) in the organization or supervision senior to the individual directing the relief. This Soldier will perform the functions as described in paragraphs b through c, above. The senior rater (or other reviewer) will prepare and submit comments as an enclosure to the NCOER (as required). When indicating objections, the senior rater (or other reviewer) is restricted to the requirements of reviewers of "Relief for Cause" OER (see AR 623-3).

(4) If there is not an Army Soldier to serve as a Uniformed Army Advisor in the chain of command or supervision above the person directing the relief, the NCOER will be forwarded (along with the appropriate request) to HQDA for review (address in app B).

3-22. Submitting an addendum to previously submitted Noncommissioned Officer Evaluation Reports

Rating officials will submit an addendum to a previously submitted NCOER when they become aware of new derogatory information that would have resulted in a lower evaluation of the rated NCO. See chapter 6 of this publication, AR 623-3 (NCOER modifications, derogatory information, and the redress program) for guidance on the correction of NCOERs for other reasons.

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

b. The addendum (see para 5-3 for instructions) will contain the rated NCO's name, grade, SSN, and the period covered by the NCOER 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 commander will refer a copy of the completed addendum to the rated NCO for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA (see address in app B).

Note. If not a member of the original rating chain, the commander's responsibility is only to coordinate the submission of the addendum. The commander may not add comments to the addendum unless he or she was a member of the original rating chain.

d. 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 NCO, they will so indicate. If the rated NCO cannot be contacted for review, the commander 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 AR 623-3.

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 NCO, they will so indicate. If the rated NCO cannot be contacted for review, the commander 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 AR 623-3.

Section VIII

Headquarters, Department of the Army DA Form 2166-9 series Noncommissioned Officer Evaluation Report Processing

3-23. Instructions for "Relief for Cause" DA Form 2166-9 series NCOER

If a rated NCO is officially relieved (see AR 623-3), the following specific instructions apply to completing a "Relief for Cause" NCOER:

a. The rating official directing the relief will clearly explain the reason for relief in part IV, if the relieving official is the rater; if the relieving official is the senior rater, in part V, block e.

b. 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 (not to exceed one page) to the NCOER (see AR 623-3 for a sample memorandum of "Relief for Cause" directed by a nonrating official).

c. Regardless of who directs the relief, the rater will enter the bullet, "The rated NCO has been notified of the reason for the relief" in part IV, block f.

d. The minimum rater and senior rater qualifications and the minimum rating period are 30 rated days (60 rated days for USAR TPU, DIMA, and drilling IR NCOs and ARNG NCOs). The fundamental purpose of this restriction is to allow the rated NCO a sufficient period to react to performance counseling during each rating period. Authority to waive this 30-day minimum rating period and rater and senior rater qualification period in cases of misconduct is granted to a general officer in the chain of command or an officer having general courts-martial jurisdiction over the relieved NCO. The waiver approval will be in memorandum format and attached as an enclosure to the NCOER (see AR 623-3 for sample memorandum of 30-day minimum waiver).

e. The date of relief determines the "THRU" date of the NCOER. "Relief for Cause" NCOERs may be signed at anytime during the closing or following month of the NCOER.

f. When the rater is relieved, or when the rated NCO and the rater are concurrently relieved, the senior rater will complete the rater and senior rater portions of the NCOER for each of the rater's subordinates. Enter "rater relieved" in part V, block e and do not identify the relieved rater in part II, block a. (Refer to AR 623-3.)

3-24. How to make corrections to DA Form 2166-9 series NCOER

a. NCOERs that have been received and accepted for processing at HQDA will be visible in the Evaluation Entry System when the receipt date is on or before the load date shown in the Evaluation Entry System application.

b. NCOERs with administrative errors will be placed in an "ON HOLD - Returned to Field" or "PENDING" status awaiting corrected NCOERs from the rating officials, BN and/or BDE S1, or administrative office. Examples, but not all inclusive of administrative errors include inaccurate or overlapping "FROM" and "THRU" dates, incorrect reason for submission, missing APFT status or date, missing or incorrect height and weight data, and so forth.

c. Review the system administrative notes that identify the error(s) contained within a NCOER. Following correction of these errors, the corrected NCOER will be re-submitted to HQDA using the EES.

Note: If corrections are made on paper copies of the NCOER, mail the corrected NCOER to the address in appendix B.

d. If the administrative notes for an NCOER state that the senior rater needs to contact HQDA, this should be done expeditiously to avoid delays in processing the NCOER to the rated NCO's AMHRR.

3-25. Headquarters, Department of the Army rejection of DA Forms 2166-9 series NCOER

HQDA review of NCOERs may identify errors within the content of a NCOER. Such NCOERs will be indicated as

“REJECTED” in the Evaluation Entry System or they will be returned to the sender in the Evaluation Entry System. NCOERs with the following errors will be rejected as invalid:

- a. Senior Rater does not meet the minimum grade/rank requirements (see AR 623–3).
- b. Rating period does not meet minimum time requirements to render a NCOER (see AR 623–3).
- c. Period covered overlaps the dates of a previously submitted NCOER already in the NCO’s AMHRR and fails to meet minimum rating requirements once the “FROM” date is corrected.
- d. Receipt date at HQDA is prior to the “THRU” date on the NCOER (see authentication of evaluation reports in AR 623–3).
- e. “Complete the Record” NCOERs not received in a timely manner in accordance with the MILPER message announcing an HQDA-level selection board (see AR 623–3).
- f. “Complete the Record” or promotion NCOER for an NCO who is ineligible for a specific selection board.
- g. NCOERs from a previous system that is now obsolete (for example, DA Form 2166–7).
- h. Subsequent NCOERs are submitted or received with the same “FROM” and “THRU” dates.
- i. Evaluations that are illegible or of poor quality.
- j. Faxed copies of NCOERs, which will be discarded without record of rejection in the EES.

Table 3–16
Codes and reasons for submission for DA Form 2166–9 series NCOER

Codes	Reason	Entered on NCOER
02	Annual	“Annual”
03	Change of rater	“Change of Rater”
04	Change of duty, retirement, or discharge; reassignment to USAR Control Group or IRR (RC only)	“Change of Duty” “Retirement” “Discharge” “Reassignment”— <i>Note. USAR only; for reassignment of USAR Soldiers to an IRR Control Group.</i>
05	Relief for cause	“Relief for Cause”
06	Depart TDY, TCS, SD	“Depart TDY/TCS/SD”
07	60–day option report	“60 day opt”
08	Senior rater option	“SR–Option”
09	Complete the record	“Complete Rec”
10	Extended annual	“Ext annual”
12	REFRAD status: AT, ADT, ADOS–RC, ADOS or CO–ADOS (RCs only)	“REFRAT” “REFRADT” “REFRADOS–RC” “REFRADOS” “REFRCO–ADOS” <i>Note. Used for USAR and NGB NCOER reports only.</i>
19	HRC directed	“AHRC Directed”
31	NGB directed	“NGB Directed”

Notes:

¹ Codes other than those indicated in this table may appear in the drop-down menu on electronic forms.

² Use only the codes found in this table for processing NCOERs.

Table 3–17
Reason codes for nonrated time for DA Form 2166–9 series NCOER

Codes	Reason
A	Absent without leave/desertion/unsatisfactory participant (versus nonparticipant).
C	Confinement in military or civilian detention facility, assignment to military personnel control facility, or assignment to correctional training facility.
D	Temporary disability retirement list.
E	Leave (30 or more consecutive days).
F	Under arrest.
G	Healing with duty (for WTU Soldiers with duties assigned at the discretion of the WTU commander, see AR 623–3).
H	Healing (for WTU Soldiers performing their healing mission).
I	In transit between duty stations, including leave, permissive TDY, and TDY.
M	Missing in action.
P	Patient (under doctor’s care and unable to perform assigned duties/includes convalescent leave).
Q	Lack of rater qualification.
S	Student at military or civilian school.
T	On TDY/SD/TCS less than 90 calendar days.
W	Prisoner of war.
X	Authorized absence for participation in special program.
Z	None of the above.

Notes:

¹ Codes other than those indicated in this table may appear in the drop-down menu on electronic forms.

² Use only the codes found in this table for processing NCOERs.

Chapter 4

Preparation of DA Form 1059 and DA Form 1059–1

Section I

DA Form 1059

4–1. Purpose and process for DA Form 1059 (Service School Academic Evaluation Report)

a. Purpose. DA Forms 1059 (Service School Academic Evaluation Report) are prepared to document the participation of Soldiers who take part in resident and nonresident training at professional military education and functional training courses for which the preparation of the DA Form 1059 as a course document has been deemed appropriate. The DA Form 1059 is normally required for RA, USAR, and ARNG Soldiers and personnel of other Services taking courses at Army schools, DOD-sponsored schools, NCO academies, allied nation schools, and USAR chaplain schooling (see AR 623–3 for policy guidance and school-specific information).

Note. The terms “Soldier” and “student” are synonymous for purposes of this chapter.

b. Process. Information required to complete an DA Form 1059 for students attending Service schools and NCO academies is described in paragraphs 4–2 through 4–7 and table 4–1. The reviewing official is responsible for the accuracy of the information in the completed DA Form 1059. For policy guidance on preparation and submission requirements, see AR 623–3. Service schools that use the Army Training Requirements and Resources System (ATRRS) DA Form 1059 preparation module will also follow the guidance in that module to prepare and distribute the DA Form 1059.

Note. For more information on the ATRRS application, go to the ATRRS Web page at <https://www.atrrs.army.mil> or email the ATRRS Help Desk at ahelp@asmr.com.

c. Sample. See figure 4–1 for a sample of DA Form 1059.

SERVICE SCHOOL ACADEMIC EVALUATION REPORT				DATE (YYYYMMDD)	
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.				20140401	
1. LAST NAME - FIRST NAME - MIDDLE INITIAL HAYES, CHRISTOPHER D.		2. SSN 888-88-8888	3. RANK LTC	4. BRANCH IN	5. SPECIALTY/MOSC 11A00
6. COURSE TITLE (See DA Pam 623-3, Table 4-1)		7. NAME OF SCHOOL (See DA Pam 623-3, Table 4-1)			8. COMPONENT RA
9. THIS IS A REFERRED REPORT, DO YOU WISH TO MAKE COMMENTS? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No		10. DURATION OF COURSE (YYYYMMDD) From: 20140401 Thru: 20141201			
11. PERFORMANCE SUMMARY *a. <input type="checkbox"/> EXCEEDED COURSE STANDARDS (Limited to 20% of class enrollment) b. <input checked="" type="checkbox"/> ACHIEVED COURSE STANDARDS *c. <input type="checkbox"/> MARGINALLY ACHIEVED COURSE STANDARDS *d. <input type="checkbox"/> FAILED TO ACHIEVE COURSE STANDARDS *Rating must be supported by comments in ITEM 14.		12. DEMONSTRATED ABILITIES a. WRITTEN COMMUNICATION <input type="checkbox"/> NOT EVALUATED <input type="checkbox"/> UNSAT <input checked="" type="checkbox"/> SAT <input type="checkbox"/> SUPERIOR b. ORAL COMMUNICATION <input type="checkbox"/> NOT EVALUATED <input type="checkbox"/> UNSAT <input checked="" type="checkbox"/> SAT <input type="checkbox"/> SUPERIOR c. LEADERSHIP SKILLS <input type="checkbox"/> NOT EVALUATED <input type="checkbox"/> UNSAT <input type="checkbox"/> SAT <input checked="" type="checkbox"/> SUPERIOR d. CONTRIBUTION TO GROUP WORK <input type="checkbox"/> NOT EVALUATED <input type="checkbox"/> UNSAT <input checked="" type="checkbox"/> SAT <input type="checkbox"/> SUPERIOR e. EVALUATION OF STUDENT'S RESEARCH ABILITY <input type="checkbox"/> NOT EVALUATED <input type="checkbox"/> UNSAT <input checked="" type="checkbox"/> SAT <input type="checkbox"/> SUPERIOR (SUPERIOR/UNSAT rating must be supported by comments in ITEM 14)			
13. HAS THE STUDENT DEMONSTRATED THE ACADEMIC POTENTIAL FOR SELECTION TO HIGHER LEVEL SCHOOLING/TRAINING? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A (A "NO" response must be supported by comments in ITEM 14)					
14. COMMENTS (This item is intended to obtain a word picture of each student that will accurately and completely portray academic performance, intellectual qualities, and communication skills and abilities. The narrative should also discuss broader aspects of the student's potential, leadership capabilities, moral and overall professional qualities. In particular, comments should be made if the student failed to respond to recommendations for improving academic or personal affairs.) (See DA Pam 623-3, para 4-6) APFT: PASS 20140901 HT/WT: 71/189 YES Notes: 1. IF APFT IS "FAIL", rater will mark "FAILED TO ACHIEVE COURSE STANDARDS" (Item 11d) and comment "Failed to meet APFT standards" (Item 14). 2. IF HT/WT is "NO", rater will mark "FAILED TO ACHIEVE COURSE STANDARDS" (Item 11d) and comment "Failed to meet Army body composition standards" (Item 14). 3. IF APFT IS "FAIL" and HT/WT is "NO", rater will mark "FAILED TO ACHIEVE COURSE STANDARDS" (Item 11d) and comment "Failed to meet APFT and Army body composition standards" (item 14).					
15. AUTHENTICATION					
a. TYPED NAME, GRADE, BRANCH, AND TITLE OF RATER (See DA Pam 623-3, para 4-2)		DATE (YYYYMMDD) YYYYMMDD	SIGNATURE DIGITAL SIGNATURE 123456789		
b. TYPED NAME, GRADE, BRANCH, AND TITLE OF REVIEWING OFFICER (See DA Pam 623-3, para 4-2)		DATE (YYYYMMDD) YYYYMMDD	SIGNATURE DIGITAL SIGNATURE 123456789		
c. DATE (YYYYMMDD) YYYYMMDD		SIGNATURE OF RATED SOLDIER DIGITAL SIGNATURE 123456789			

DA FORM 1059, NOV 2015

APD LC v1.00ES

Figure 4-1. Sample of DA Form 1059

4-2. Administrative data

Part I (blocks 1 through 10) and block 15 (Authentication), are for administrative data and for identifying the rated Soldier (officer or NCO), the type of course attended, the period of the DA Form 1059, the reason for submitting the DA Form 1059, and explanation of nonrated periods. The rater or his or her designated representative completes part I. Authentication is conducted in block 15.

Note: The date in the upper right corner of the DA Form 1059 is the date on which the DA Form 1059 was prepared.

Table 4-1
Administrative data for DA Form 1059

DA Form 1059 block: 1-Name

Action required: Enter rated Soldier's name (Last, First, MI Suffix) in capital letters.

Reference: None

DA Form 1059 block: 2-SSN

Action required: Enter rated Soldier's nine-digit SSN (for example, 123-45-6789).

Reference: None

DA Form 1059 block: 3-Rank

Action required: Enter the three character rank (for example, COL, CPT, CW2, MSG, or SGT).

Reference: None

DA Form 1059 block: 4-Branch

Action required: Use two-character code reflecting basic

Reference: None

DA Form 1059 block: 5-Specialty/MOSC

Action required: Enter the AOC codes for commissioned officers (for example, 12A/42H) (see DA Pam 611-21). For warrant officers and enlisted personnel, enter the Soldier's PMOS (see section I, DA Form 4037 (ORB) and enlisted record brief appropriately).

Reference: DA Pam 611-21

DA Form 1059 block: 6-Course Title

Action required: Enter course title (include class number and year).

Reference: None

DA Form 1059 block: 7-Name of School

Action required: Enter name of the school

Reference: None

DA Form 1059 block: 8-Comp

Action required: Enter component of the Soldier. Enter "RA," "USAR," or "ARNG."

Reference: None

DA Form 1059 block: 9-Referred Report

Action required: If the DA Form 1059 is referred in accordance with AR 623-3, paragraph 3-27, then the rater will mark the first box. The DA Form 1059 will then be given to the rated Soldier for signature and validation and placement of an "X" in the appropriate box ("NO" if the rated Soldier does not wish to make comments or "YES" if the rated Soldier is going to attach comments).

Reference: AR 623-3, paragraphs 3-27 and 3-28

DA Form 1059 block: 10-Duration of Course

Action required: Enter the "FROM" date (beginning date of the course) and the "THRU" date (last date of the course) (YYYYMMDD). For an initial interim DA Form 1059, the course duration will be "FROM" the beginning date of the course and "THRU" the 365th day (366th for leap years) covering 12 months. Follow on an interim DA Form 1059 and/or final DA Form 1059 will be prepared sequentially thereafter. See AR 623-3, chapter 3 for interim AER course requirements.

Note: If the rated Soldier is terminated or dismissed from a course prior to the end date of the course, the "THRU" date will be the last day of attendance/supervision prior to his or her termination or dismissal.

Reference: None

DA Form 1059 block: 15-Authentication

Action required: This section will be prepared and signed by the rater and reviewing officer and the rated Soldier. The commandant or an authorized representative will review and sign the DA Form 1059. The rated Soldier will sign the DA Form 1059 prior to school departure but after the rater and reviewing officer have signed. If the Soldier is unavailable for signature or refuses to sign the DA Form 1059, add the following comments "Rated Soldier not available to sign" or "Rated Soldier refused to sign" in block 14.

Reference: None

4-3. Performance summary (block 11)

a. This item must be completed for all officer and NCO courses except for students who are receiving an interim DA Form 1059, released from or resign from a course through no fault of their own, or have an approved retirement or resignation from military service, which will be explained in block 14 (see para 4-6). The performance summary is intended to measure the level of performance of each student against the course standards. The rating official will identify each student's level of performance by placing an "X" beside the most appropriate entry as described below:

(1) "Exceeded Course Standards." For those Soldiers whose overall course achievement is significantly above the standards of the course. The category is restricted to those students who are considered deserving by the commandant, but will not exceed 20 percent of the class enrollment.

(2) "Achieved Course Standards." For those Soldiers who achieved the overall acceptable course standards as identified in the course grading plan.

(3) "Marginally Achieved Course Standards." For those Soldiers who achieved, with difficulty, the minimum acceptable course standards as identified in the course grading plan.

(4) "Failed to Achieve Course Standards." Self-explanatory. See paragraphs 4-3c(2) through 4-3c(5) regarding failure to meet APFT or body composition standards of AR 600-9.

b. Comments are required for entries corresponding with subparagraphs a(1), (3), and (4), above to detail and justify the level of performance indicated. Use block 14 for supporting comments. Over-stamping with "Distinguished Graduate," "Honor Graduate," or "Commandant's List," or any other over-stamping or highlighting is prohibited.

c. If "Marginally Achieved Course Standards" or "Failed to Achieve Course Standards" is checked, see AR 623-3 for referred DA Form 1059s.

(1) Soldiers attending, in either a PCS or a TDY status, DA Form 1059 producing military schools and institutional training courses that are 60 days or more in length will be administered the APFT and height and weight screening as a mandatory course requirement. DA Form 1059 producing functional training courses may require an APFT as a graduation requirement for a course, regardless of course length. APFT data will be entered in block 14 of the DA Form 1059 as indicated in paragraph 4-6g.

Note. For officers in BOLC and WOBC, see paragraph 4-6g and AR 350-1.

(2) Soldiers who meet academic course requirements but fail to meet the APFT or height and weight standards will complete training and their DA Form 1059 will be annotated to reflect their performance.

Note: Unless the Soldier has an approved request for DCS, G-1 waiver of compliance with AR 600-9, the height and weight standards of AR 600-9 apply at all times, even when the officer is deployed for combat or contingency operations. If the Soldier has an approved DCS, G-1 waiver, the rater will enter "Rated officer has a DCS, G-1 waiver of compliance with AR 600-9." In such cases, a copy of the DCS, G-1 approval memo will be submitted as an enclosure to the DA Form 1059. This entry will not be left blank.

(3) Soldiers who fail to meet APFT standards will be marked "Failed to Achieve Course Standards" (block 11d), and the DA Form 1059 will include the comment, "Failed to meet APFT standards" (block 14).

(4) Soldiers who fail to meet height and weight or body composition standards of AR 600-9 will be marked "Failed to Achieve Course Standards" (block 11d), and the DA Form 1059 will include the comment: "Failed to meet body composition standards" (block 14).

(5) Soldiers who fail to meet both APFT and height and weight or body composition standards of AR 600-9 will be marked "Failed to Achieve Course Standards" (block 11d), and the DA Form 1059 will include the comments: "Failed to meet APFT standards and failed to meet body composition standards" (block 14).

4-4. Demonstrated abilities (block 12)

a. This item must be completed for all officer and NCO courses. Indicate the level of performance by placing an "X" beside the most appropriate entry as described below:

b. Comments are required when "Superior" or "Unsatisfactory" (paras (1) and (3) below) are selected, detailing and justifying the level of proficiency indicated. Use block 14 for supporting comments. If "Unsatisfactory" is checked, see AR 623-3 for DA Form 1059 referrals.

(1) "Superior." Indicates the student has demonstrated an ability that is significantly above the standard.

(2) "Satisfactory." Indicates the student has demonstrated an acceptable level of proficiency.

(3) "Unsatisfactory." Self-explanatory.

(4) "Not Evaluated." Self-explanatory.

4-5. Academic potential (block 13)

a. Indicate the student's potential for selection to the next higher level of schooling and/or training. If "NO" is checked see AR 623-3 for DA Form 1059 referrals. This pertains to the normal career progression and professional development courses as follows:

(1) *Commissioned officers.* Branch-specific officer advanced course, intermediate level education, and senior service college.

(2) *Warrant officers.* Warrant officer advanced course and warrant officer staff and senior staff courses.

(3) *Noncommissioned officers.* Advanced and Senior Leader Courses (except for USAR Soldiers in the Advanced Leader Course, phase I; see AR 623–3 for RC personnel not on active duty) and the Sergeants Major Course.

b. The evaluation should assess the rated Soldier's—

(1) Ability to apply the knowledge derived during the school.

(2) Potential compared to students with similar experiences and motivation.

(3) Ability to contribute to group discussions.

c. For students attending courses requiring an interim DA Form 1059 in accordance with AR 623–3, the “N/A” box will be utilized when preparing the required interim DA Form 1059.

4–6. Rater comments (block 14)

a. Comments are required to articulate the capabilities, potential, and/or limitations of the Soldier, including significant achievements or deficiencies, and degree awarded, if applicable. Explain entries requiring further description and enter additional comments as required based on boxes checked in blocks 11, 12, or 13. For students attending courses requiring an interim DA Form 1059 in accordance with AR 623–3, the “comments narrative” will begin with the following: “**INTERIM.**”

b. Comments should be made if the Soldier—

(1) Displayed exceptional potential or demonstrated any exceptional capabilities, aptitudes, and/or limitations that should be considered in future selection opportunities and/or assignments.

(2) Lacked ability or motivation.

(3) Demonstrated moral or character deficiencies.

(4) Failed to respond to recommendations for improving academic or personal affairs.

(5) Was released from student status through no fault of their own (for example, medical or compassionate reasons) and is recommended for reinstatement in the course.

(6) Was released from student status based on an approved retirement or resignation.

(7) Was required to appear before an academic board.

c. If appropriate, comments should also be made if the Soldier has demonstrated the potential to be a Service school instructor.

d. For students who are awarded the Master of Strategic Studies degree, enter: “Student is awarded the Master of Strategic Studies degree.”

e. In accordance with AR 350–1, DA Form 1059 producing professional military education courses beyond initial military training that are 60 days or more will administer an APFT as a course requirement and the results will be entered on the DA Form 1059. In addition, proponents of DA Form 1059 producing functional courses that require an APFT as a graduation requirement will enter the test results on the DA Form 1059. Enter the APFT result (PASS/FAIL/PROFILE) with the test date (YYYYMMDD), the height and weight data, and “YES” or “NO” (to indicate compliance with the body composition standards of AR 600–9) below the narrative in block 14. See paragraph 4–3 (block 11) for comments required for APFT failure or noncompliance with the height and weight standards of AR 600–9. Officers attending BOLC and WOBC will meet the height and weight and body composition standards of AR 600–9 and will pass a record APFT prior to graduating from their final BOLC or WOBC. Additional guidance on APFT requirements for BOLC and WOBC students is stated in AR 350–1.

4–7. Referred DA Forms 1059 and mandatory review of “Failed to Achieve Course Standards” DA Forms 1059

All referred DA Form 1059s require referral to the rated Soldier for comment. A mandatory supplementary review of a “Failed to Achieve Course Standards” DA Form 1059 is required following referral to the rated Soldier.

a. See AR 623–3 for policy guidance to determine whether a DA Form 1059 is referred or requires an addendum to a previously submitted DA Form 1059 (see chap 5 for addendum format).

b. A referred DA Form 1059 will be referred to the rated Soldier for an opportunity to comment as described in paragraph 2–28 and AR 623–3, as applicable.

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

c. After signing a referred DA Form 1059 or completing an addendum, the reviewing official will forward both the referred DA Form 1059 and the addendum to the student for acknowledgment and comment. The reviewer will ensure that the provisions of AR 623–3 have been followed. The rated Soldier will acknowledge receipt of the referred DA Form 1059 or addendum and will mark in block 9 either the “YES” box if he or she is attaching comments, or the “NO” box. The Soldier may enclose a comment or statement if he or she believes that the rating or remarks are incorrect. The comments or statement must be factual. The referral memorandum and acknowledgment are forwarded with the DA Form 1059 to HQDA.

(1) Comments or statements by the Soldier do not constitute an appeal. Appeals are filed and processed separately as outlined in AR 623-3.

(2) If the rated Soldier has departed the school under circumstances that preclude immediate referral of an DA Form 1059, a copy will be sent by certified return mail directly to the student marked "Personal in Nature," or a copy will be sent to the Soldier's commander for acknowledgment and comment. If the Soldier fails to acknowledge receipt of the referred DA Form 1059 by a reasonable suspense date, the certified mail number or commander's acknowledgment of receipt will constitute proper referral of the DA Form 1059.

d. If the referred DA Form 1059 indicates "Failed to Achieve Course Standards," the first U.S. Army officer or DA civilian in the chain of supervision above the reviewing officer requires a supplementary review, unless the reviewing officer is the school commandant. Supplementary reviews will not be made by an individual higher than the school commandant.

(1) Supplementary reviewers of a "Failed to Achieve Course Standards" DA Form 1059 will—

(a) Ensure that the narrative portions of the DA Form 1059 contain factual information that fully explain and justify the reason for the course failure.

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

(c) Ensure that the DA Form 1059 has been prepared in accordance with AR 623-3 and this pamphlet.

(d) Ensure that the DA Form 1059 has been returned to the rated Soldier for comment.

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

(2) The supplementary reviewer will provide comments as an enclosure to the DA Form 1059 (see AR 623-3 for sample memoranda for supplementary reviews). The school commandant is the highest authority for conducting a supplementary review for a "Failed to Achieve Course Standards" DA Form 1059.

(3) If the supplementary reviewer is satisfied that the DA Form 1059 is clear, accurate, complete, and fully in accordance with the provisions of the regulation, they will indicate this in a supplementary review memorandum (see AR 623-3) that will be submitted to HQDA with the completed DA Form 1059 and comments (if any) provided by the rated Soldier (address at app B).

(4) If the supplementary reviewer finds that the DA Form 1059 is unclear, contains errors of fact, or is otherwise in violation of AR 623-3, they will return the DA Form 1059 to the rater or reviewing official (unless the commandant is the reviewing official), indicating what is wrong. The supplementary reviewer will avoid all statements and actions that may influence or alter an honest evaluation by the rater or reviewing official. When the DA Form 1059 has been corrected, it will be returned to the reviewing official.

(5) A changed DA Form 1059 must be referred again by the reviewing official, in accordance with AR 623-3, to the rated Soldier, so that the corrected DA Form 1059 may be acknowledged and comments provided, if desired. Only the final referral and acknowledgment are forwarded with the DA Form 1059 to HQDA.

(6) If the corrected DA Form 1059 is satisfactory to the supplementary reviewer, the reviewing official will continue to process the DA Form 1059.

(7) If the corrected DA Form 1059 is not satisfactory to supplementary reviewer, or if the rating officials disagree concerning the need for changes in the DA Form 1059, the supplementary reviewer will indicate objections to the DA Form 1059 by adding an enclosure. When indicating objections, the supplementary reviewer is restricted to the issues listed in AR 623-3.

e. See AR 623-3 for policy to determine whether a DA Form 1059 is referred or requires an addendum.

f. For information on the redress program and AER appeals, see chapter 6 of this pamphlet and AR 623-3.

Section II

DA Form 1059-1 (Civilian Institution Academic Evaluation Report)

4-8. Purpose and process

a. Purpose. See AR 623-3 and AR 621-1 for policy pertaining to the DA Form 1059-1 and under what circumstances a DA Form 1059-1 will be prepared. These DA Form 1059-1s are generally prepared for Soldiers who take part in resident and nonresident training at civilian institutions. The DA Form 1059-1 and a copy of official transcripts from the civilian institution are required for RA and USAR Soldiers—

(1) Participating in full-time (on duty) degree programs at an educational, medical, or industrial institution.

(2) Participating in a part-time (after duty) degree program (RA personnel only).

b. Process. Information required to complete DA Form 1059-1 is described in table 4-2. The reporting official is responsible for the accuracy of the information in the completed DA Form 1059-1. For policy guidance on preparation and submission requirements, see AR 623-3. See appendix B for submission addresses.

c. Sample form. See figure 4-2 for a sample of DA Form 1059-1.

CIVILIAN INSTITUTION ACADEMIC EVALUATION REPORT				
<small>For use of this form, see AR 623-3; the proponent agency is DCS, G-1.</small>				
SECTION I - ADMINISTRATIVE DATA <i>(To be completed by the student detachment or Installation Education Services Officer)</i>				
1. LAST NAME - FIRST NAME - MIDDLE INITIAL MACY, DIANE S.	2. SSN 999-99-9999	3. RANK MAJ	4. BRANCH SP	5. SPECIALTY/MOSC XXXXXX
6. COMPONENT RA	7. APPLICABLE REGULATION (See DA Pam 623-3, paragraph 4-9)			
8. THIS IS A REFERRED REPORT, DO YOU WISH TO MAKE COMMENTS? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No			9. DURATION OF COURSE (YYYYMMDD) From: 20140401 Thru: 20141001	
SECTION II - EVALUATION <i>(To be completed by the Civilian Institution) ATTACH AN OFFICIAL TRANSCRIPT IN DUPLICATE</i>				
10. NAME AND ADDRESS OF CIVILIAN INSTITUTION (See DA Pam 623-3, paragraph 4-9)				
11. EVALUATION <i>(Evaluation of Student Performance should be based on the normal standard of performance at the institution. Identify the discipline of study, degree, and any special achievements or deficiencies noted, etc. Include aptitude for further schooling.)</i>				
(See DA Pam 623-3, paragraph 4-9)				
DATE (YYYYMMDD) YYYYMMDD	TYPED NAME, TITLE AND TELEPHONE NUMBER DOE, JANE, TITLE 555-555-5555		SIGNATURE DIGITAL SIGNATURE 123456789	
SECTION III - ADMINISTRATIVE REVIEW <i>(To be completed by the Reviewer)</i>				
12. DID STUDENT SUCCESSFULLY COMPLETE THE COURSE? (A "NO" response must be supported by comments in ITEM 13. An Official Transcript must be attached prior to submission of the report to the OMPF.) <input type="checkbox"/> YES <input type="checkbox"/> NO				
13. REVIEWER COMMENTS				
(See DA Pam 623-3, paragraph 4-9)				
DATE (YYYYMMDD) YYYYMMDD	TYPED NAME AND TITLE DOE, JANE, TITLE 555-555-5555		SIGNATURE DIGITAL SIGNATURE 123456789	
DATE (YYYYMMDD) YYYYMMDD	SIGNATURE RATED SOLDIER		DIGITAL SIGNATURE 123456789	

DA FORM 1059-1, NOV 2015

APD LC v1.00ES

Figure 4-2. Sample of a DA Form 1059-1

4-9. Preparing the DA Form 1059-1

See table 4-2 for information pertaining to preparing the DA Form 1059-1.

Table 4-2
Preparing the DA Form 1059-1

DA Form 1059-1: 1-Name

Action required: Enter rated Soldier's name (Last, First, MI, Suffix) in capital letters

Reference: None

DA Form 1059-1: 2-SSN

Action required: Enter Soldier's nine-digit SSN (for example, 123-45-6789).

Reference: None

DA Form 1059-1: 4-Branch

Action required: Use two-character code reflecting basic branch for commissioned officers or management group for warrant officers as shown in section I, career field information on the DA Form 4037 (ORB).

Reference: None

DA Form 1059-1: 5-Specialty/MOSC

Action required: Enter the AOC codes for commissioned officers (for example, 12A/42H) (see DA Pam 611-21). For warrant officers and enlisted personnel, enter the individual's PMOS (see section I, DA Form 4037 (ORB) and enlisted record brief appropriately).

Reference: DA Pam 611-21

DA Form 1059-1: 6-Component

Action required: Enter component of the Soldier. Enter "RA," "USAR," or "ARNG."

Reference: None

DA Form 1059-1: 7-Applicable Regulation

Action required: Identify the regulation that outlines the degree program under which the Soldier participated.

Reference: None

DA Form 1059-1: 8-Referred Report

Action required: If the DA Form 1059-1 is a referred report in accordance with AR 623-3, then the rater will mark the first box in block 8. The DA Form 1059-1 then will be given to the rated Soldier for signature and validation and placement of an "X" in the appropriate box ("NO" if the rated Soldier does not wish to make comments or "YES" if the rated Soldier is going to attach comments).

Reference: AR 623-3

DA Form 1059-1: 9-Duration of Course

Action required: Enter the "FROM" date (beginning date of the course) and the "THRU" date (last date of the course). (Use the YYYYMMDD format.) For initial interim DA Form 1059-1s, the course duration will be "FROM" the beginning date of the course and "THRU" the 365th day (366th for leap years) covering 12 months. Follow on interim DA Form 1059-1s and/or final DA Form 1059-1s will be prepared sequentially thereafter. See AR 623-3, chapter 3 for interim DA Form 1059-1 course requirements.

Reference: None

DA Form 1059-1: 10-Name and Address of Civilian Institution

Action required: Enter the name and address of civilian institution.

Reference: None

DA Form 1059-1: 11-Evaluation

Action required: The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will evaluate the student. This will include an accurate and complete description of the subject area of study. The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will date, type name and title, include his or her telephone number, then sign the DA Form 1059-1.

Reference: None

DA Form 1059-1: 12-Did Student Successfully Complete the Course?

Action required: Reviewing official will check the appropriate box. A "NO" response must be supported by comments in item 13. An official transcript must be attached prior to submission of the DA Form 1059-1 to the AMHRR. For students attending courses requiring an interim DA Form 1059-1 in accordance with AR 623-3, chapter 3, this box will be left blank when preparing the required interim DA Form 1059-1.

Reference: None

Table 4–2
Preparing the DA Form 1059–1—Continued

DA Form 1059–1: 13—Reviewer Comments and Authentication

Action required: This section will be completed and reviewed by HQDA, Chief, NGB, or the installation education services officer prior to inclusion in the Soldier's AMHRR, if comments are warranted. Comments are required concerning the reason for a student's release from a degree program (that is, approved retirement, resignation from Army service or through no fault of their own). The reviewer will type his or her name and title, then sign and date the DA Form 1059-1. For students attending courses requiring an interim DA Form 1059-1 in accordance with AR 623-3, chapter 3, the "comments" narrative will begin with the following: "***INTERIM***". The rated Soldier will sign the DA Form 1059-1 prior to school departure but after the rater and reviewer have signed the DA Form 1059-1. If the Soldier is unavailable for signature or refuses to sign, add the following comments "Rated Soldier not available to sign" or "Rated Soldier refused to sign" in block 13.

Note: The reviewing official for DA Form 1059-1s associated with the Army's fully and partially funded education programs including training with industry (TWI) governed by AR 621-1 and AR 621-7 will be the HRC (Use office symbol) (see AR 623-3)."

Reference: None

4–10. Submitting an addendum to previously submitted academic evaluation reports

Rating officials will submit an addendum to a previously submitted AERs when they become aware of new derogatory information that would have resulted in a lower evaluation of the rated student (officer or NCO). See chapter 6 and AR 623–3 (report modifications, derogatory information, and the redress program) for guidance on the correction of evaluation reports for other reasons.

a. The first commander or commandant in the officer's current chain of command who receives new information about a rated officer will ensure that all members of the original rating chain for the AERs 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 AERs, no addendum will be prepared.

b. The addendum, according to instructions in paragraph 5–3 will contain the rated officer's name, grade, SSN, and the period covered by the AERs 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 commander or commandant will refer a copy of the addendum to the student for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA (see address in app B).

Note: For ARNG Soldiers, the addendum will be forwarded to HQDA through the state adjutant general. No changes will be made to the original AERs in the rated Soldier's AMHRR, but the addendum will be appended to the AERs 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 commander's or commandant's responsibility is only to coordinate the submission of the addendum. The commander 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 student, the commander or commandant will so indicate.

f. If the rated Soldier cannot be contacted for review, the commander or commandant will comment on the action taken and the inability to contact the rated Soldier before submitting the addendum to HQDA. Specific instructions for referral are detailed in AR 623–3.

Chapter 5

Evaluation Report Processing

Section I

Evaluation Report Processing and Submission

5–1. DA Form 67–10 series OERs and DA Form 2166–9 series NCOERs processing and copies

Procedural guidance for preparing Officer and Non Commissioned Officer evaluation reports is found in chapter 2 (OER) and chapter 3 (NCOER). Policy guidance is provided in AR 623–3.

Note. Where the Evaluation Entry System electronic form guidance conflicts with the guidance in this publication and AR 623–3, the policy guidance provided in AR 623–3 and the procedural guidance provided in this publication take precedence. If the OER or NCOER report is for a time period prior to the publication of this regulation, governing policy and procedural guidance at the time of the period covered by the OER or NCOER will be used, whenever possible.

a. *Processing.* The Army standard for preparing and submitting OERs and NCOERs is using the Wizard application

within the Evaluation Entry System. OERs and NCOERs are to be created, digitally signed (exceptions exist for manual signatures), and submitted for acceptance and processing at HQDA through the Evaluation Entry System use.

(1) OERs and NCOERs prepared using the Wizard application associated within the Evaluation Entry System on the current Army Publishing Directorate-approved versions of DA Form 67-10 series OER or DA Form 2166-9 series NCOER will be submitted to HQDA to arrive no later than 90 days after the "THRU" date of the annotated on the report. Current versions of forms have the most up-to-date capabilities. OERs and NCOERs prepared on older form versions and/or printed, or manually signed evaluations cannot be submitted through the Evaluation Entry System, therefore, they must be mailed as paper copies to HRC (AHRC-PDV-ER) (address in app B).

Note: Only deployed units are authorized to submit evaluations by email (see para 5-1a(2)). Reports received at HQDA are presumed to be administratively correct. Authorized abbreviations may be used (see AR 25-52); however, acronyms must be spelled out the first time with the acronym indicated within parentheses; thereafter, the acronym may be used alone. Rating officials' narratives or bullet comments may not include prohibited gimmicks (see AR 623-3).

(2) Printed paper copies of a OERs or NCOER and any required enclosures, OERs and NCOERs prepared on older form versions, and manually signed OERs and NCOERs must be mailed to HRC (AHRC-PDV-ER) (with the exception of deployed units) (address in app B). Basic requirements for printing evaluations for mailing are:

- (a) Single document, double sided, head-to-head.
 - (b) Full nine-digit SSNs for the rated Soldier, the rater, and the senior rater, as a minimum; or verified DOD ID numbers
 - (c) Without extraneous black lines or marks.
 - (d) Manual signatures will be in black or dark blue ink only.
 - (e) Document as near as possible to 8 1/2 by 11 inches, with 1/2-inch margins.
 - (f) Aligned straight on the page.
 - (g) Framed on the page with all lines, edges, box checks, and numerical entries visible.
 - (h) Balanced contrast between light background and dark fonts (using black and white printer).
 - (i) Mail printed copies of reports and older form versions to HRC (AHRC-PDV-ER) (address in app B).
- (3) Only units deployed to contingency theaters of operations, and others on an exceptional case-by-case basis, are authorized to email evaluations as attachments for submission to designated email addresses at HQDA. The Evaluation Systems and Policy Office can provide these addresses and guidance on procedures for deployed units. Email attachments, in order of preference, will comply with the following guidelines:

- (a) CAC-enabled digitally signed .pdf-f evaluation report with valid signatures.
- (b) Scanned copies of printed digitally signed or manually signed evaluation reports, double-sided .tiff or .pdf image (single front and back pages will not be accepted). Manual signatures will be in black ink only.
- (c) One evaluation report per email, with the Soldier's rank, name, and "THRU" date in the subject line.

Note. Do not include a Soldier's SSN in the subject line of an email.

(d) Name attachments with, as a minimum, the rated Soldier's rank and last name and the "THRU" date of the evaluation report.

Note. It is best to send only one report per email because of the volume of emails received at HQDA. If an evaluation report has required enclosure(s), both the evaluation report and the enclosure(s) must be sent in a single email.

- (4) Evaluation reports submitted by any means will be rejected when—
 - (a) The senior rater does not meet minimum qualifications.
 - (b) Signature dates are more than 14 days before the "THRU" date of the evaluation report.
 - (c) A "Complete the Record" evaluation report is not received in a timely manner.
 - (d) An evaluation report is from a previous rating system (for example, DA Form 67-8 or DA Form 2166-7, which are now obsolete).
 - (e) Evaluation reports contain other errors that cannot be corrected at the HQDA level.
 - (f) Copies of evaluation reports are faxed. Faxed reports will be discarded without a record of rejection in the EES.
- b. *Copies.* Each rated officer or NCO will be given a copy of his or her OER or NCOER by the senior rater or senior rater's designated representative once it has been completed and processed locally. This copy may be either an electronic or a paper copy of the original OER or NCOER. Rated officers or NCOs who fail to receive a copy of their evaluation report after the close of the reporting period should request a copy from—

- (1) The senior rater or administrative section responsible for processing the evaluation report.
- (2) His or her AMHRR, once the evaluation report has completed processing at HQDA and is put into the interactive Personnel Electronic Records Management System (iPERMS) for filing in the AMHRR. The iPERMS copy of the evaluation report is the Soldier's official record.
- (3) Rated Soldiers may access their AMHRR online at the following Web site <https://iperms.hrc.army.mil>
- (4) Copies of classified evaluation reports are not authorized, except as indicated in AR 623-3.

5-2. DA Form 1059 and DA Form 1059-1 processing and copies

a. Processing. Only electronically generated DA Forms 1059 and DA Forms 1059-1 designed and distributed by the Army Publishing Directorate are authorized for submission to HQDA and filing in a Soldier's AMHRR. When preparing AERs, authorized abbreviations may be used (see AR 25-52); however, acronyms must be spelled out the first time with the acronym indicated within parentheses; thereafter, the acronym may be used alone. Digitally signed AERs are preferred; however, manually signed AERs are authorized.

(1) AERs will be processed through the appropriate sponsoring agency (see table 5-1), as needed, to complete the report.

(a) Completed DA Form 1059 with CAC-enabled digital signatures prepared using ATRRS may be submitted electronically to HQDA.

Note: AERs submitted to HQDA using ATRRS will not be visible in the EES.

(b) Paper copies of completed AERs will be batch-mailed by the school or institution to HQDA no later than 90 days after the course completion date (or the student's release date, whichever comes first) using the addresses in appendix B for both forms. When mailing AERs, use DA Form 200 (Transmittal Record), accounting for each enclosure and including the sender's complete return mailing address and other contact information.

(2) All significant information that can be evaluated must be reported. The same care and attention must be exercised in preparing AERs as is exercised in preparing OERs and NCOERs.

(3) The original AERs and enclosures authorized by AR 623-3 will be placed unfolded in an envelope and forwarded via first-class mail to the HQDA address listed for the form (app B).

(4) Basic requirements for printing AERs for mailing to HQDA are as follows:

(a) Single document printed on one sheet of paper.

(b) Full nine-digit SSNs for the rated Soldier and the senior rater, as a minimum.

(c) Without extraneous black lines or marks.

(d) Manual signatures will be in black ink only.

(e) Document as near as possible to 8 1/2 by 11 inches, with 1/2-inch margins.

(f) Aligned straight on the page.

(g) Framed on the page with all lines, edges, and box checks, and numerical entries visible.

(h) Balanced contrast between light background and dark fonts (using black and white printer).

(i) Mail printed copies of DA Form 1059s to HRC (see addresses for both AERs in app B).

(5) Referred AERs that have not been provided to the rated Soldier for signature and an opportunity to comment will be rejected.

(6) Faxed copies of AERs will be discarded without record of rejection in the Evaluation Entry System.

b. Copies. Each rated Soldier will be given a copy of the AER by the military or civilian academic institution's designated representative once it has been completed by the proper officials and processed locally. This copy may be either an electronic or paper copy of the original. Once submitted to HQDA, AERs are reviewed and sent directly to the rated Soldier's AMHRR. Rated Soldiers who fail to receive a copy of their AER after the close of the reporting period should request a copy from—

(1) The academic advisor or administrative section of the Service school or civilian institution.

(2) The rated Soldier's AMHRR (see access information in para 5-1b(2)).

**Table 5-1
Sponsoring agency addresses for DA Forms 1059 and DA Forms 1059-1**

Sponsoring agency	Address
For RA, USAR officers (except AMEDD, Judge Advocate General's Corps (JAGC), and chaplains)- HRC	U.S. Army Human Resources Command (AHRC-PDV-ER), 1600 Spearhead Division Avenue, Department Number 470, Fort Knox, KY 40122-5407
For RA and USAR enlisted Soldiers (except AMEDD, JAGC and chaplains)- HRC	U.S. Army Human Resources Command (AHRC-PDV-ER), 1600 Spearhead Division Avenue, Department Number 470, Fort Knox, KY 40122-5407
For AMEDD officers and enlisted Soldiers-The Surgeon General	Commander, Army Medical Department Student Detachment, Academy of Health Sciences, U.S. Army, Fort Sam Houston, TX 78234-0001
For JAGC officers and officers for whom JAGC is the control branch-The Judge Advocate General	Judge Advocate Recruiting Office, 1777 North Kent Street, Suite 5200, Rosslyn, VA 22209-2194
For chaplains-Office of the Chief of Chaplains	Office of the Chief of Chaplains (DACH-DMI), 1421 Jefferson Davis Highway, Arlington, VA 22202-3259

Table 5-1
Sponsoring agency addresses for DA Forms 1059 and DA Forms 1059-1—Continued

Sponsoring agency	Address
For ARNG Soldiers-Chief, NGB	Army National Guard Schools Branch, Army National Guard Operating Activity Center, Building E4430, Edgewood Area, Aberdeen Proving Ground, MD 21010-5001

Section II

Addendum Preparation and Forwarding (DA Form 67-10 series OER, DA Form 2166-9 series NCOER DA Form 1059, and DA Form 1059-1)

5-3. Preparing an addendum to a previous evaluation report

a. If rating officials become aware of verified derogatory information that would have resulted in a lower evaluation of the rated Soldier, they will submit an addendum to the previous evaluation report (see AR 623-3). The first commander in the chain of command receiving the new information will ensure that all members of the original rating chain 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. If all conditions of AR 623-3 concerning newly received derogatory information are met, and an addendum is warranted, rating officials will refer the addendum to the OER, NCOER, or AER to the rated Soldier for acknowledgment and comments before submitting it to DCS, G-1 (AHRC-PDV-EA) (address in app B).

b. The addendum will be prepared as shown in figure 5-1. It will contain the rated Soldier's grade, SSN or 10 digit DOD identification number, the type of evaluation report, and the period of the evaluation report to which it applies. It will state factual information about the reason for the addendum, what ratings and/or narrative comments would have been if the derogatory information was known and verified at the time the evaluation report was prepared. It will also state that all members of the rating chain who have been allowed added comments; and it will list those who did not want to comment.

Note: No changes will be made to the original evaluation report in the rated Soldier's AMHRR, but the addendum will be appended to the OER, NCOER, or AER to which it applies, along with any comments from the rated Soldier.

c. The commander's responsibility is only to coordinate the submission of the addendum. He or she may not add comments to the addendum unless he or she was a member of the original rating chain.

5-4. Steps for preparing an addendum

A sample of the addendum is shown in figure 5-1. Steps for preparing an addendum are outlined in table 5-2. Additional information regarding addenda is in paragraphs 2-31, 3-22, and AR 623-3.



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Appropriate Agency – Appendix B)

SUBJECT: Addendum to a Previously-Submitted OER/AER (Rated Soldier's Name, Rank, SSN, Report Period Covered)

1. The information described in the enclosed documents became known and was verified after the submission of the above indicated OER.
2. Each of the rating officials on the subject OER/AER was made aware of this new information. After considering the newly-received information, the (rater, intermediate rater, senior rater, or reviewing official) of the original evaluation chain decided that it is significant enough to warrant additional comments. Their comments are at enclosures 1, 2, and so forth.
3. A copy of my referral to the rated officer is also enclosed. The rated officer's acknowledgement and comments are at enclosure (enter number). **--OR--** The rated officer failed to respond.

Encls

1. Copy of evaluation report
2. (Number and list enclosures of appropriate evidence)

(Signature block of first U.S. Army commander aware of the verified derogatory information)

Figure 5–1. Sample format for an addendum memorandum

Table 5–2
Addendum preparation

Step	Work center	Action required
1	Rating chain	Upon receipt of previously unknown or unverified derogatory information, contact the BN and/or BDE S1 or administrative office for assistance in determining if an addendum is appropriate or authorized (see para 2–31 and AR 623–3).
2	BN and/or BDE S1 or administrative office	Identify previously submitted evaluation reports covering the period pertaining to the newly received derogatory information.
3	Commander	Ensure information is accurate and verified.
4	BN and/or BDE S1 or administrative office	Identify the rating chain that prepared the previously submitted evaluation report. Provide the newly received information to each rating chain member and determine if any member desires to comment.
5	BN and/or BDE S1 or administrative office	If no rating chain member desires to comment, close the matter as completed action. If any member chooses to comment on the new information because they would have given a lower evaluation to the rated officer or NCO if they had known about the derogatory information at the time the evaluation report was prepared, an addendum using the format shown in figure 5–1 will be prepared. <i>Note. Ensure that separate addendums are prepared for each rating official submitting comments.</i>

Table 5-2
Addendum preparation—Continued

Step	Work center	Action required
6	BN and/or BDE S1 or administrative office	Any addendum that is prepared must be referred to the rated officer or NCO following the procedures outlined in paragraph 3-28. The referring official must be the current unit commander. The commander may not submit addendum comments unless he or she was a member of the original rating chain. The referral letter should follow the format provided in figure 2-6.
7	BN and/or BDE S1 or administrative office	When all administrative processing procedures have been completed for referrals (para 4-7 and/or AR 623-3), prepare a forwarding memorandum for the commander's signature as shown in figure 5-1.
8	Commander	Sign the final addendum that will be prepared for forwarding to HRC (AHRC-PDV-EA) (address in app B). Include comments from all rating officials if provided. Comments will only be submitted by members of the original rating chain.
9	BN and/or BDE S1 or administrative office	Using the commander's forwarding memorandum, forward all addenda, the commander's referral letter, and the rated Soldier's acknowledgment and comments, if any (or the commander's statement of failure to acknowledge, if appropriate) to the appropriate address indicated at appendix B.

Chapter 6

Constructing an Evaluation Report Appeal

6-1. Deciding to appeal

a. An appellant who perceives that an evaluation report is inaccurate in some way has the right to appeal for redress to the appropriate agency. However, before actually preparing an appeal, an objective analysis of the evaluation report in question should be made.

b. Review the evaluation report and version of AR 623-3 that were in effect on the “THRU” date of the evaluation report in question, along with this chapter and chapter 4 of the current regulation. Call or visit your career management officials at HQDA to determine whether an appeal is advisable. Legal assistance judge advocates and BN and/or BDE S1s or appropriate administrative personnel are also available to advise and provide assistance in the preparation of an appeal. AR 623-3 provides guidance for a rated Soldier to request a commander's or commandant's inquiry.

c. Be realistic in the assessment of whether or not to submit an appeal.

(1) An evaluation report that is inconsistent with others in an AMHRR does not mean that it is inaccurate or unjust. Some Soldiers do not perform certain duties as well as others and this is one of the things that the Evaluation Reporting System should indicate.

(2) Appealing an evaluation report on the sole basis of a self-authored statement of disagreement will not be successful. Likewise, statements from rating officials claiming that they did not intend to evaluate as they did will not, alone, serve as the basis for altering or withdrawing an evaluation report.

(3) Careful consideration should be given before submitting an appeal of an evaluation report in which the narrative portions are positive, but the numerical markings or box checks are less than the maximum. HQDA expects rating officials to evaluate subordinates based on their own individual conscience and judgment. It is extremely difficult to successfully appeal an evaluation report of this nature without compelling evidence to support the appellant.

d. The weight accorded to evidence is critical to the success of an appeal. Appellants should carefully decide what evidence is needed to support claims, whether or not such evidence is available, and how to go about obtaining it. If, after considering the nature of a claim, an appellant still believes the evaluation report is inaccurate and evidence is available to support the argument, he or she should prepare and submit an appeal.

6-2. Preparing an appeal

a. Develop rationale. An appeal's success depends on the care with which the case is prepared, the line of argument presented, and the strength of the evidence presented to support it. Begin by specifically identifying those entries or comments to be challenged, the perceived inaccuracy in each entry or comment, the evidence you think is necessary to prove the alleged inaccuracy, and where and how to obtain such evidence.

b. Obtain evidence.

(1) Collect supporting evidence necessary to refute adequately the contested evaluation report.

(2) Third party statements form the basis of most substantive appeals: “Third parties” are persons who have official knowledge of the rated Soldier's duty performance during the period of the evaluation report being appealed. Statements from Soldiers who establish they were on hand during the contested rating period, who refute faulting remarks on the evaluation report, and who served in positions from which they could observe the appellant's performance and their interactions with rating officials, are both useful and supportive. These statements should be specific and not deal in general discussions of the appellant. As an example, if an appellant desired to challenge a comment concerning his or her ability to communicate effectively with subordinates, it would be advantageous for that appellant to provide statements from a cross-section of individuals who could provide specific information pertaining to

the faulting comment. Although third party statements can be provided by knowledgeable subordinates, peers, and superiors, additional weight is normally given those statements where the authors occupied vantage points during the contested period that closely approximated those of the rating officials. An example could be a BN executive officer that had knowledge of the situation in a company, battery, or troop. Such third party statements should be on letterhead if possible; describe the author's duty relationship to the appellant during the period of the contested report; describe and demonstrate degree (frequency) of observation; and should include the author's current address and telephone number.

(3) Statements from rating officials often reflect retrospective thinking, or second thoughts, prompted by an appellant's nonselection or other unfavorable personnel action claimed to be the sole result of the contested evaluation report. As a result, claims by rating officials that they did not intend to evaluate as they did will not, alone, serve as the basis of altering or withdrawing an evaluation report. Rating officials may, however, provide statements of support contending the discovery of new information that would have resulted in an improved evaluation had it been known at the time of evaluation report preparations. Such statements must describe what the new information consists of, when and how it was discovered, why it was reportedly unknown at the time of evaluation report preparation, and the logical impact it may have had on the contested evaluation report had it been known at the time the evaluation report was originally prepared (see AR 623-3).

(4) Official documents may substantiate that an evaluation report is in error.

(a) In an administrative appeal, for example, an official copy of a published rating scheme in effect during a specific evaluation report period may indicate that an incorrect rating official prepared an evaluation; or duty appointment orders and appropriate extracts from local personnel records may indicate that the period of a report, duty title, or periods of nonrated time are incorrect.

(b) For substantive claims, certain documents such as annual general inspection results may be helpful in refuting faulting remarks on an evaluation report concerning an appellant's duty performance, provided such documents are official copies, are relevant to the rating period, and specifically pertain to faulting comments.

(c) Award citations and letters of commendation may or may not be of value. The period and circumstances surrounding an award or letter of commendation must be compared to the contested period and circumstances surrounding the contested evaluation report. Are they relevant to the period? Do they refute the report?

(5) To obtain current mailing addresses of Army personnel, check first with your local BN or BDE S1, or administrative office. If the individuals in question have since retired or have otherwise left active duty, write to National Personnel Records Center, Army Reference Branch (NCPMA), 1 Reserve Way, St. Louis, MO 63132-5200. The individual's full name and SSN must be provided along with the request. State that this is for official use in conjunction with an evaluation report appeal. To protect the privacy of individuals no longer on active duty, these agencies will normally forward correspondence to the appropriate individual rather than provide an address.

(6) Relevant portions of official documents such as annual general inspection, Army Training and Evaluation Program, or command inspection results may be obtained under the Freedom of Information Act by writing the individual unit or headquarters responsible for conducting such inspections. Addresses for military organizations can be obtained by contacting your servicing administrative office.

(7) To obtain records and verify dates, start with the AMHRR for orders and other documents, or contact a former organization, BN and/or BDE S1, or unit-level Army administrative office to determine whether records are still retained.

c. Cover memorandum and appeal format.

(1) Refine arguments and formalize the appeal. Appropriate memorandum formats for appeals are shown in figures 6-1 through 6-5. The appeal memorandum is used as a cover document and transmittal of the appeal. Appeal memoranda should be typed, military memoranda on letterhead or white bond paper. Identify in the first paragraph name, rank, branch, SSN, period of evaluation report, and priority of appeal, as determined in AR 623-3. Include a Defense Switched Network (DSN) or commercial phone number and correct mailing address. Home address may be used, if preferred.

(2) Identify the specific portion(s) of the evaluation report being contested. Be clear, brief, and specific. If detailed information is essential, add a statement as an enclosure to the appeal. Indicate the specific changes requested, that is, a single change, a combination of changes, or total removal of the evaluation report. All enclosures should be listed and tabbed for ease of reference and cited in the written presentation of the case. Sign and date the appeal memorandum.

d. Submission.

(1) Before finalizing the appeal, an appellant should have the entire package reviewed by a trusted disinterested third party. This third party review may help remove emotionalism and poor logic from the case. The appeal package should not be submitted until the appellant is satisfied that he or she presented a logical, well-constructed case, as fully documented as possible.

(2) For an appeal contesting an evaluation report for a period of active duty or USAR service, submit the finalized appeal in duplicate (that is, two complete packets) directly to Commanding General, U.S. Army Human Resources Command (AHRC-PDV-EA), 1600 Spearhead Division Avenue, Department Number 470, Fort Knox, KY 40122-5704.

- (3) Appeals contesting an evaluation report for a period of ARNG service—
- (a) For OERs submit to Chief, National Guard Bureau (ARNG–HRH) (Evaluation Appeals), 111 South George Mason Drive, Arlington, VA 22204–1382.
- (b) For NCOERs consisting of an administrative error to the adjutant general (appropriate state).
- (c) For NCOERs consisting of substantive error to Chief, National Guard Bureau (ARNG–HRH) (Evaluation Appeals), 111 South George Mason Drive, Arlington, VA 22204–1382.
- (4) Verify all necessary information (SSN, signature, date, mailing address, and telephone number).
- e. *Samples.* See figures 6–1 through 6–5 for examples of document formats to be used if an evaluation appeal is necessary.

	DEPARTMENT OF THE ARMY HEADQUARTERS, UNIT NAME STREET ADDRESS CITY, STATE 12345-0001	(Date)
(Office Symbol)		
MEMORANDUM FOR <i>(Appropriate Agency – Appendix B)</i>		
SUBJECT: Evaluation Report Appeal <i>(Appellant's Name, Rank, SSN, Report Period Covered)</i>		
<ol style="list-style-type: none"> 1. Under the provisions of AR 623-3, Evaluation Reporting System, Chapter 4, I appeal the subject evaluation report. <i>(Include pending personnel actions and appeal processing priority.)</i> 2. This appeal is based solely on administrative error. <i>(Identify each portion of the report with which you disagree. State each entry as it appears and as it correctly should appear.)</i> 3. <i>(Include certified true copies of related documents to support your request, for example, rating schemes in effect throughout the entire rating period, orders, leave and earnings statements, APFT scorecard (DA Form 705) or other valid documents to verify correction of the error. Original statements from knowledgeable individuals also may be included to support your request.)</i> 4. <i>(Be sure to include a telephone number, preferably DSN, at which you may be reached. Notify the addressee promptly if your address changes.)</i> 		
# Encls 1. Copy of evaluation report 2. <i>(Number and list enclosures of appropriate evidence)</i>	<i>(Signature block with mailing address, if other than address on letterhead)</i>	

Figure 6–1. Sample format for an administrative appeal memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR *(Appropriate Agency – Appendix B)*

SUBJECT: Evaluation Report Appeal *(Appellant's Name, Rank, SSN, Report Period Covered)*

1. Under the provisions of AR 623-3, Evaluation Reporting System, chapter 4, I appeal the subject evaluation report. *(Include your current promotion/career status, pending personnel actions, and appeal processing priority.)*

2. The basis of this appeal is substantive inaccuracy. *(Use this paragraph to briefly identify the specific portion of the report and basis of your disagreement. Avoid general allegations. Be clear, brief, and specific. If a detailed explanation is essential to your appeal, include your own statements as an enclosure to the appeal. Limit the information in this statement to basic facts. Be sure to support your appeal with relevant statements from knowledgeable observers.)*

3. *(Request the specific corrective action you believe is justified by evidence you provide. Your request may be a single change to one portion of the evaluation report or removal of the entire report. Your request must be supported by sufficient evidence to warrant the requested correction.) If the evaluation report exceeds the 3-year time limit outlined in paragraph 4-8, add a paragraph explaining why a waiver should be granted. Only exceptional justification will be accepted by the Army Special Review Board who is the approval authority for waiver requests.)*

4. *(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 6–2. Sample format for a substantive appeal memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR (Appropriate Agency – Appendix B)

SUBJECT: Evaluation Report Appeal (Appellant's Name, Rank, SSN, Report Period Covered)

1. Under the provisions of AR 623-3, Evaluation Reporting System, Chapter 4, I appeal the subject evaluation report. (Include pending personnel actions and appeal processing priority.)

2. This appeal is based on both administrative and substantive error. (Identify the specific portion of the report you believe is in error. State each entry as it now appears and as it should appear. Support your claim of technical error with certified true copies of verifying documents, for example, rating schemes in effect throughout the entire rating period, orders, leave and earnings statements, APFT scorecard (DA Form 705) or other valid documents related to your appeal.)

3. The substantive error is... (Identify the specific portion of the report and state your disagreement. Be clear, brief, and specific. Limit your explanation to basic facts. If detailed information is essential to support your appeal, include with your appeal statements from knowledgeable individuals independent of the rating chain. Statements from the rating officials may be added as supplemental information.)

4. (Request the specific changes you believe are justified by the evidence you provide. Your request may be a combination of changes or a total removal of the report. Remember that you must document your request with sufficient evidence to warrant corrective action. If the THRU date of the OER or NCOER exceeds the 3-year time limit as outlined in AR 623-3, paragraph 4-8, add a paragraph explaining why a waiver should be granted. Only exceptional justification will be accepted by the SRB, the approval authority for waivers.)

5. (Be sure to include a telephone number, preferably DSN, at which you may be reached. Notify the addressee promptly if your address changes.)

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 6-3. Sample format for a combined administrative and substantive appeal memorandum



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

*Third Party Name
Street Address
City, State, Zip Code*

Dear *(third party name)*:

The purpose of this letter is to seek your assistance in my effort to successfully appeal an evaluation report rendered for the period *(report start date)* through *(report end date)*, when I served as *(appellant's duty position)*.

(In the body of the request letter, cite those portions of the contested report you would like to have addressed by the recipient of the letter. You may wish to also enclose a copy of the contested report. Request that the addressee follow the sample memorandum format for third party support and enclose a copy of the sample memorandum in figure 6-5.)

(To be assistance the addressee, you may wish to enclose a self-addressed, stamped envelope and mention in the letter that this has been done.)

(In closing, you may wish to urge a prompt response and thank the addressee in advance for any and all assistance he/she might provide.)

Sincerely,

*(Signature block with mailing address,
if other than address on letterhead)*

Enclosures

Figure 6-4. Sample format for a letter requesting third party support



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

(Office Symbol)

(Date)

MEMORANDUM FOR* *(See note)*

SUBJECT: Supporting Statement for Evaluation Report Appeal of *(Appellant's Name, Rank, SSN)*

1. During the period from *(duty start date)* through *(duty end date)* I served as *(author's duty position and unit of assignment)*. In that position, I observed *(appellant's name, followed by wording describing the frequency or closeness of observation, including, if appropriate, whether the author was knowledgeable of the working relationship between the appellant and the rating chain and/or their expectations of him/her)*.
2. *(In the body of the support memorandum, relate any firsthand knowledge of events and circumstances that might be of assistance to the appellant in attempting to individually refute the specific shortcomings for which he/she was faulted on the contested evaluation report.)*
3. *(Support the request with related documents, for example, orders, leave and earnings statements, or other documents.)*
4. *(Provide a telephone number, preferably DSN, where you may be reached by the review board, if clarification is needed.)*

*(Signature block with mailing address,
if other than address on letterhead)*

* Note: The memorandum may be addressed to either the rated Soldier, to whom it may concern, or the agency that will adjudicate the appeal. However, the statement must be provided to the rated Soldier for inclusion with his/her appeal and not sent to the adjudicating agency.

Figure 6-5. Sample format for a third party support memorandum

Appendix A References

Section I Required Publications

AR 40-501

Standards of Medical Fitness (Cited in para 2-4.)

AR 600-9

The Army Body Composition Program (Cited in para 4-3a(4).)

AR 600-20

Army Command Policy (Cited in para 2-7.)

AR 623-3

Evaluation Reporting System (Cited in para 2-2a(4).)

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 regulation. Unless otherwise stated, all publications are available at: <http://www.apd.army.mil/>. Department of Defense regulations are available at: <http://www.dtic.mil/>. The U.S. Code and the Code of Federal Regulations are available at: <http://www.gpoaccess.gov/fdsys/>.

ADP 6-22

Army Leadership

ADRP 6-22

Army Leadership

AR 11-2

Managers' Internal Control Program

AR 15-6

Procedures for Investigating Officers and Boards of Officers

AR 25-30

The Army Publishing Program

AR 25-52

Authorized Abbreviations, Brevity Codes, and Acronyms

AR 350-1

Army Training and Leader Development

AR 621-1

Training of Military Personnel at Civilian Institutions

AR 621-7

Army Fellowships and Scholarships

ATP 6-22.1

The Counseling Process

DA Pam 600-3

Commissioned Officer Professional Development and Career Management

DA Pam 611-21

Military Occupational Classification and Structure

5 USC 301

Departmental regulations

10 USC 3013

Secretary of the Army

Section III

Prescribed Forms

This section contains no entries

Section IV

Referenced Forms

Unless otherwise indicated, DA Forms are available on the Army Publishing Directorate (APD) Web site (<http://www.apd.army.mil>).

DA Form 67-10-1

Company Grade Plate (O1 - O3; WO1 - CW2) Officer Evaluation Report

DA Form 67-10-1A

Officer Evaluation Report Support Form

DA Form 67-10-2

Field Grade Plate (O4 - O5; CW3 - CW5) Officer Evaluation Report

DA Form 67-10-3

Strategic Grade Plate (O6) Officer Evaluation Report

DA Form 67-10-4

Strategic Grade Plate General Officer Evaluation Report

DA Form 200

Transmittal Record

DA Form 1059

Service School Academic Evaluation Report

DA Form 1059-1

Civilian Institution Academic Evaluation Report

DA Form 2028

Recommended Changes to Publications and Blank Forms

DA Form 2166-9-1

NCO Evaluation Report (SGT)

DA Form 2166-9-1A

NCO Evaluation Report Support Form

DA Form 2166-9-2

NCO Evaluation Report (SSG - 1SG/MSG)

DA Form 2166-9-3

NCO Evaluation Report (CSM/SGM)

DA Form 4037

Officer Record Brief (ORB) (For availability contact your servicing component/career manager.)

DA Form 5500

Body Fat Content Worksheet (Male)

DA Form 5501

Body Fat Content Worksheet (Female)

Appendix B**U.S. Army Human Resources Command and Other Addresses****B-1. Addresses for various applications**

Table B-1 provides HRC addresses for submitting various forms for certain circumstances.

B-2. Official military personnel fileAMHRRs are available at the following Web address: <https://iperms.army.mil/rms/login.jsp>. The HRC Web site offers access to AMHRRs for all components at <https://www.hrc.army.mil/site/index.asp>.**Table B-1****Addresses for the U.S. Army Human Resources Command, National Guard Bureau, and other Services' personnel offices**

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 40122-0001 DSN: 983-6411 Commercial: (502) 613-6411 Web site: https://www.hrc.army.mil	RA and USAR DA Form 1059-1 (officers only)
U.S. Army Human Resources Command (AHRC-PDV-ER) (Evaluation Processing) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122-5407 <i>Note. Evaluation Entry System is the tool to check the status of processing for all submitted DA Form 67-10 series OERs and DA Form 2166-9 series NCOERs.</i>	For officers: RA, USAR, and ARNG DA Form 67-10 series OERs, DA Form 2166-9 series NCOERs, DA Form 1059, and requests for HQDA review of DA Form 67-10 series OER and DA Form 2166-9 series NCOERs (when U.S. Army officer/Uniformed Army Advisor for supplementary review is not available)
U.S. Army Human Resources Command (AHRC-PDV-EA) (Evaluation Appeals) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122-5407 Email: usarmy.knox.hrc.mbx.tagd-eval-appeals@mail.mil DSN: 938-9022 Commercial: (502) 613-9022	For officers: Appeals and addenda for Regular Army and USAR DA Form 67-10 series OER, DA Form 1059, and DA Form 1059-1; requests for administrative correction or nonrated time statements (Regular Army and USAR) For NCOs: Appeals and addenda for Regular Army and USAR DA Form 2166-9 series NCOERs; requests for administrative correction or nonrated time statements (Regular Army and USAR)
U.S. Army Human Resources Command (AHRC-PDV-E) (Evaluation Systems) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122-5407 Email: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil DSN: 983-9019 Commercial: (502) 613-9019 <i>Note. Policy and initiative questions can start here but may also be addressed to specific component evaluation offices.</i> Web site: https://www.hrc.army.mil/site/Active/tagd/ESPD(formerly_MSD)/ESO/eso.htm (Policy information/clarification, and access to all evaluation report-related applications are available at the Web address)	For officers: RA, USAR, and Commander's or Commandant's Inquiries pertaining to: DA Form 67-10 series OER, DA Form 1059, and DA Form 1059-1 For NCOs: DA Form 2166-9 series NCOERs (Regular Army and USAR), and DA Form 1059 Requests for "Senior Rater Profile" report, (also available online)

Table B-1**Addresses for the U.S. Army Human Resources Command, National Guard Bureau, and other Services' personnel offices—Continued**

<p>National Guard Bureau, Army National Guard Readiness Center (ARNG-HRP-R) (OER section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-7111 Commercial: (703) 607-7111</p>	<p>For ARNG officers: Commander's/Commandant's Inquiries for: DA Form 67-10 series OER, DA Form 1059, and DA Form 1059-1</p> <p><i>Note. Commander's or commandant's inquiries and 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 OPM or EPM.</i></p>
<p>Chief, National Guard Bureau (ARNG-HRH) (Appeals Section) 111 South George Mason Drive Arlington, VA 22204-1382 DSN: 327-0012 Commercial: (703) 607-0012</p>	<p>Appeals and addenda for ARNG officer DA Form 67-10 series OER, DA Form 1059, and DA Form 1059-1 and substantive appeals for ARNG NCO DA Form 2166-8 and enlisted DA Form 1059.</p> <p><i>Note. Administrative appeals for ARNG DA Form 2166-8 and DA Form 1059 will be addressed to the rated NCO's state EPM.</i></p>
<p>U.S. Navy: Information Technology Center ITC 14, Building 3, Third Floor (CDM) 2251 Lakeshore Drive New Orleans, LA 70145-0001</p> <p>U.S. Air Force: Headquarters, AFPC/DPPPED 550 C Street West Suite 7 Randolph Air Force Base, TX 78150-4709</p> <p>U.S. Marine Corps: Commandant, USMC Headquarters, U.S. Marine Corps 2008 Elliot Road Quantico, VA 22134-5030</p>	<p>Non-U.S. Army Servicemember, DA Form 1059</p>

Appendix C

Counseling

C-1. Army Evaluation Reporting System counseling process

- a. *Counseling is a key aspect of the Evaluation Reporting System process.*
- b. Officers have one form designed to facilitate performance and developmental counseling, the DA Form 67-10-1A. The DA Form 67-10-1A is mandatory for officers in the ranks of WO1 through COL; however, it may be used for officers of all ranks. Instructions on the use of these forms are in chapter 2..
- c. *NCOs.* NCOs use DA Form 2166-9-1A to facilitate performance and developmental counseling, DA Form 2166-9-1A is mandatory during counseling of all NCOs, CPL through CSM. Detailed instructions on the use of DA Form 2166-9-1A are in chapter 3.
- d. *Counseling.* forms may be used when it is appropriate to counsel officers and NCOs matriculating through an Army course of instruction. Civilian institutions will use appropriate local forms and academic reviews, as applicable.
- e. *Referred reports.* See AR 623-3.

C-2. Counseling preparation

Counseling's primary purpose is to improve performance and to professionally develop the rated Soldier. Counseling is the process used by leaders to review, with a subordinate, the subordinate's demonstrated performance and potential. It is one of the most important leadership and professional development responsibilities, as counseling enables Army leaders to help Soldiers become more capable, resilient, satisfied, and better prepared for current and future responsibilities. Counseling at the beginning of and during the evaluation period ensures the subordinate's personal involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, and competencies. Army leaders ensure that performance objectives and standards focus on the organization's objectives and the individual's professional development. The best counseling is always looking forward. It does not dwell on the past and on what was done, rather on the future and what can be done better. Counseling at the end of the rating period is too late since there is no time to improve before

evaluation. It is important for the rater and the rated Soldier to prepare for counseling. Rater preparation will ensure the counseling session is organized and stays on track. Preparation by the rated Soldier enhances two-way communication and involvement in objective setting and performance assessment. Table C-1 provides preparation recommendations for both raters and rated Soldiers.

Table C-1
Counseling session preparation

Session: Initial counseling—All officers

DA Form: 67-10-1A

Timeframe: Within 30 days of beginning the rating period (see AR 623-3 for additional information for USAR and ARNG officers).

Rated Soldiers preparation: — Draft duty description and major performance objectives.

- Provide the draft DA Form 67-10-1A to rater.
- Prepare to discuss duties and objectives.

Raters preparation: — Provide rated officer/warrant officer copies of rater's and senior rater's DA Form 67-10-1A and blank DA Form 67-10-1A with initial drafted duty description.

- Receive/review rated officer's draft DA Form 67-10-1A.
 - Select site (private) and schedule with rated officer.
 - Make outline/plan for conducting initial counseling session.
-

Session: Initial counseling —NCOs

DA Form: 2166-9-1A

Timeframe: Within first 30 days (see AR 623-3 for additional information for USAR and ARNG NCOs).

Rated Soldiers preparation: — Request copies of rater's and senior rater's support forms. Review rating chain.

- Draft and provide duty description, performance goals and expectations, and major performance objectives on DA Form 2166-9-1A using input from rater's and senior rater's support form.
- Prepare to discuss, review, and receive approval from rater for duties, goals and expectation and major performance objectives.

Raters preparation: — Provide rated NCO copies of rater's/senior rater's support form containing performance objectives and blank DA Form 2166-9-1A with initial drafted duty description, valid rating chain, and specified goals and objectives.

- Review draft DA Form 2166-9-1A NCOER support form.
 - Make outline/plan for conducting session.
-

Session: Follow-up counseling—All officers

DA Form: 67-10-1A

Timeframe: Midpoint and, as needed

Rated Soldiers preparation: — Conduct self-assessment.

- Draft revisions, duties, and performance objectives.
- Prepare to discuss revisions, performance, and changing priorities.

Raters preparation: — Review DA Form 67-10-1A.

- Observe and assess rated officer.
 - Review record of observation/assessment.
 - Make outline/plan for conducting session.
-

Session: Follow-up counseling—NCOs

DA Form: 2166-9-1A

Timeframe: Quarterly for Regular Army and AGR NCOs and at least semiannually for USAR and ARNG NCOs (including USAR NCOs performing IDT).

Rated Soldiers preparation: — Conduct self-assessment.

- Prepare to discuss revisions, performance, changing priorities, and progression toward meeting performance goals and expectations, and major performance objectives.
- Outline target areas for development, and corresponding tasks or objectives.

Raters preparation: — Review DA Form 2166-9-1A NCOER support form.

- Observe and assess rated NCO.
 - Review record of observation and assessment.
 - Make outline and plan for conducting session.
-

C-3. Counseling outline

Note: ADRP 6-22 supersedes FM 6-22. ATP 6-22.1 (The Counseling Process) superseded FM 6-22 Appendix B, (Counseling), dated 12 October 2006.

a. ATP 6-22.1. This Army Techniques Publication covers the counseling process in more detail and describes basic components of a counseling session consisting of the following:

b. *Prepare for the session.* Identify the purpose and type of counseling, reflect on the situation, and consider appropriate ways to address the session.

c. *Open the session.* State the purpose of the counseling. Establish a comfortable environment. Invite subordinate to talk early. Employ active listening, both verbal and nonverbal.

d. *Discuss the issue.* Ask open ended questions. Respond to clarify message and check understanding. Allow time for reflection. Provide specific feedback and back with specific observations/behaviors. Avoid generalizations. Highlight successes as well as shortcomings.

e. *Develop a plan of action.* Identify a method and pathway for achieving a desired result. Emphasize development and improvement. Encourage subordinate involvement to create and modify plan.

f. *Record and close the session.* Summarize main points. Record all comments for future assessments.

g. *Initial counseling outline.*

h. *Open the session.* State the purpose. Discuss and record duty description and major performance objectives on the applicable DA Form 67-10-1A OER support form or DA Form 2166-9-1A NCOER support form.

i. *Identify the purpose up front.* Establish a comfortable environment. Invite subordinate to talk early.

j. *Listening.* Employ active listening, both verbal, and nonverbal.

k. *Discuss issue.* Jointly review duty description/performance objectives on the support form.

l. *Feedback.* Provide feedback concerning the duty description and performance objectives. Revise as needed.

m. *Relate.* Relate the meaning of the Leadership Requirements Model on the OER and NCOER related to unit/organization duties. Discuss expectations associated with each of these items.

n. *Invite.* Invite the subordinate to talk early on in the session. Ask open ended questions. Employ verbal and nonverbal active listening techniques. Respond to clarify message and check understanding. Allow time for reflection. Provide specific feedback and back with specific observations and behaviors on positive attributes and successes and targeted improvement areas. Avoid generalizations.

o. *Highlight successes.* , as well as shortcomings.

p. *Develop an action plan.* Identify actions to facilitate the attainment of the performance objectives listed on the DA Form 67-10-1A for officers and DA Form 2166-9-1A for NCOs, as applicable.

q. A good technique is to let the rated officer, warrant officer, or NCO discuss ideas first. Raters of NCOs being assess on DA Forms 2166-9-1 and DA Form 2166-9-2 will summarize performance objectives and significant contributions and accomplishments using bullet format. Major performance objectives should target and specify desired result; be measurable/verifiable; and specify target completion date/timeframe.

r. *Emphasize development and improvement.* Encourage subordinate involvement to create/modify plan.

- (1) Performance objectives:
- (2) Supportive of unit goals?
- (3) Relevant to an important aspect of the duty position?
- (4) Measurable with qualitative or quantitative criteria?
- (5) Results oriented?
- (6) Specific?
- (7) Clearly worded?
- (8) Set in a reasonable time?
- (9) Achievable?
- (10) Challenging?
- (11) Supported by authority and resources?
- (12) Backed by an action plan?

s. *Close the session.* Review duty description, performance objectives, and action plan.

Glossary

Section I Abbreviations

1SG

first sergeant

ADOS

Active Duty for Operational Support

ADOS-RC

Active Duty for Operation Support - Reserve Component

ADT

active duty for training

AGR

active guard reserve

AMEDD

Army Medical Department

AMHRR

Army Military Human Resources Record

AOC

area of concentration

APFT

Army physical fitness test

APMC

Army Medical Department Professional Management Command

ARNG

Army National Guard

ASI

additional skill identifier

AT

annual training

ATRRS

Army Training Requirements and Resources System

BDE

brigade

BG

brigadier general

BN

battalion

BOLC

Basic Officer Leadership Course

CAPT

captain (U.S. Navy)

CMD

command code

CO-ADOS

contingency operations-active duty for operational support

COL

colonel

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

DIMA

drilling individual mobilization augmentee

DOD

Department of Defense

DODD

Department of Defense directive

DSN

Defense Switched Network

ECT

extended combat training

EEO

equal employment opportunity

eMILPO

electronic military personnel office

EO

Equal opportunity

EPM

enlisted personnel manager

FA

functional area

FM

field manual

GG

general government

GM

general manager

GO

general officer

GS

general schedule

HQDA

Headquarters, Department of the Army

IDT

inactive duty training

IMA

individual mobilization augmentee

ING

inactive national guard

iPERMS

interactive Personnel Electronic Records Management System

IRR

individual ready reserve

JAGC

Judge Advocate General's Corps

LT

lieutenant

LTC

lieutenant colonel

M-DAY

man-day

MEDCOM

U.S. Army Medical Command

MG

major general

MI

middle initial

MILPER

military personnel

MOB

mobilized

MOS

military occupational specialty

MOSC

military occupational specialty code

MSAF

multi-source assessment and feedback

MSG

master sergeant

NCO

noncommissioned officer

NCOER

noncommissioned officer evaluation report

NGB

National Guard Bureau

OER

officer evaluation report

OJT

on-the-job training

ORB

officer record brief

PCS

permanent change of station

PMOS

primary military occupational specialty

RA

Regular Army

RC

reserve component

REFRAD

release from active duty

REFRADT

release from active duty for training

REFRAT

release from annual training

REFRADOS

release from active duty for operational support

REFRADOS-RC

release from active duty for operational support-Reserve Component

REFRCOADOS

release from contingency active duty for operational support

SD

special duty

SES

senior executive service

SGM

sergeant major

SGT

Sergeant

SHARP

sexual harassment and assault response and prevention

SSN

social security number

TCS

temporary change of station

TDA

table of distribution and allowances

TDY

temporary duty

TOE

table of organization and equipment

TPU

troop program unit

UA

universally administrative

UIC

unit identification code

USAF

U.S. Air Force

USAHRC

U.S. Army Human Resources Command

USAR

U.S. Army Reserve

USCG

U.S. Coast Guard

USMC

U.S. Marine Corps

USN

U.S. Navy

WTU
Warrior transition unit

Section II

Terms

Achieves

Gets results is the single achieves competency and relates to actions to accomplish tasks and missions on time and to standard. Getting results is the goal of leadership but leaders must remain mindful that leading people and creating positive conditions enable them to operate as successful leaders. Getting results requires the right level of delegation, empowerment and trust balanced against the mission. Adaptability to conditions and adjustments based on adversarial actions are ever important elements of success.

Appeal

The procedure taken by the rated Soldier or another interested party to correct administrative or substantive type errors for evaluation reports accepted for inclusion in the rated officer's or NCO's AMHRR.

Appointed duties

Additional responsibilities not normally associated with the duty description.

Army competitive category

RA 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 AMEDD.

Attributes

Shape how an individual behaves and learns in his or her environment. The leader attributes are character, presence, and intellect. These attributes capture the values and identity of the leader (character); the leader's outward appearance, demeanor, actions, and words (presence); and the mental and social faculties the leader applies in the act of leading (intellect). Attributes affect the actions that leaders perform. Good character, solid presence, and keen intellect enable the core leader competencies to be performed with greater effect.

Broadening

The purposeful expansion of a leader's capabilities and understanding provided through opportunities internal and external to the Army throughout their career, gained through experiences and/or education in different organizational cultures and environments resulting in a leader who can operate up to and including the strategic level in multiple environments.

Bullet comments

Short, concise, to-the-point comments starting with action words (verbs) or possessive pronouns (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 commanders, superior to subordinate, through which command is exercised. Normally, commanders evaluate commanders.

Chain of supervision

The individuals (military and/or civilian) involved in providing operational, functional, and/or technical supervision of a rated Soldier.

Character

Character is the essence of who a person is, what a person believes and how a person acts and consists of the internalization of Army Values, Empathy, Warrior/Service Ethos, and discipline attributes. Empathy is identifying and understanding what others think, feel and believe. Integrity is a key mark of a leader's character. It means doing what is right, legally and morally. Unwaveringly adherence to applicable laws, regulations, and unit standards build credibility with subordinates and enhance trust. Leaders of integrity adhere to the values that are part of their personal identity and set a standard for their followers to emulate.

Leader Competencies

Competencies provide a clear and consistent way of conveying expectations for Army leaders. There are three categories of competencies. The Army leader serves to lead others; to develop the environment, themselves, others and the profession as a whole; and to achieve organizational goals. The core leader competencies apply across all levels of leader positions, providing a good basis for evaluation and focused multisource assessment and feedback.

Commander's or Commandant's Inquiry

Investigation into a Soldier's evaluation report made by an official in the chain of command and/or supervisory chain above the designated rating officials involved in the allegations to determine if an illegality, injustice, or regulatory violation has occurred. The appointing official for a commander's or commandant's inquiry into an OER will normally be the commander, commandant, or civilian supervisor who rates the senior rater. The appointing official for an NCOER will normally be the commander, commandant, or civilian supervisor who rates the reviewer.

Complete the record

An optional type of 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).

Develops

The category of develops encompasses four competencies. Create a positive environment inspires an organization's climate and culture. Prepares self encourages improvement in leading and other areas of leader responsibility. Leaders develop others to assume greater responsibility or achieve higher expertise. A leader stewards the profession to maintain professional standards and effective capabilities for the future.

DID NOT MEET STANDARD

Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

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.

EXCEEDED STANDARD

Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and his/her Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, typically demonstrated by the upper third of NCOs of the same grade.

FAR EXCEEDED STANDARD

Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and his/her Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; demonstrated by the best of the upper third of NCOs of the same grade.

FROM date

The beginning date of the period covered; the day following the "THRU" (ending) date of the most recent evaluation report period.

Headquarters, Department of the Army electronically generated label

A label placed over the rater's and senior rater's box check portion on a DA Form 67-10 series OER and senior rater's box check on a DA Form 2166-9 series NCOER. Used for OERs for officers (2LT through COL); warrant officers (WO1 through CW4); and noncommissioned officers (SSG through CSM). It shows a comparison of the block check

on the OER and NCOER to all box checks for a given grade in a rater's and senior rater's profile and rater tendency on NCOERs. This does not apply to AERs.

Intellect

Intellect is how well a leader thinks about problems, creates solutions, makes decisions and leads others. This varies and people differ in intellectual strengths and ways of thinking. There is no one right way to think. Each leader needs to be self aware of strengths and limitations and apply them accordingly. Being mentally agile helps leaders address changes and adapt to the situation and the dynamics of operations. Critical and innovative thought are abilities that enable the leader to be adaptive. Sound judgment enables the best decision for the situation at hand. It is a key attribute of the transformation of knowledge into understanding and quality execution.

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.

Leads

The category of leads encompasses five competencies. Two focus on the affiliation of the followers and the common practices for interacting with them. Leads others involves influencing Soldiers and Army Civilians in the leader's organization. Extends influence beyond the chain of command involves influencing others when the leader does not have designated authority or while the leader's authority is not recognized by others, such as with unified action partners. Builds trust is an important competency to establish conditions of effective influence and for creating a positive environment. Leader actions and words comprise the competencies of leads by example and communicates. Actions can speak louder than words and excellent leaders use this to serve as a role model to set the standard. Leaders communicate to convey clear understanding of what needs to be done and why.

MET STANDARD

Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.

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 and/or duty day before a Soldier's departure.

Pooling

Elevating the rating chain beyond the senior rater's ability to know the Soldier, in an attempt to provide an elevated assessment protection for a specific group runs counter to the intent of the evaluation system.

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.

Presence

The impression a leader makes on others which contribute to success in getting people to follow. This impression is the sum of a leader's outward appearance, demeanor, actions and words and the inward character and intellect of the leader. Presence entails the projection of military and professional bearing, holistic fitness, confidence and resilience.

Rated Soldier

A rated officer, warrant officer, or NCO.

Rated time

Time when a rated Soldier has been assigned under a valid rating chain for the purposes of counseling, guidance, and evaluation of performance and potential.

Rater

First-line supervisor of the rated Soldier who is designated as the rater on the rating scheme. Primary role is that of evaluating, focusing on performance, and performance counseling. Conducts face-to-face performance counseling with the rated Soldier on duty performance and professional development within the first 30 days of each rating period and, for a majority of Soldiers, at least quarterly thereafter; for others, periodically as needed.

“Rater Profile” report

For OERs only, a documented rating history, compiled at HQDA; it displays the rater's rating history by grade.

“Rater Profile” restart

For OERs only, the deletion of an established rating history for all grades or a specific grade or grade grouping, if the rater meets all requirements for a restart. When accomplished, a new rating history (profile) is structured based on OERs rendered following the restart.

Rater misfire

When the percentage of EXCELS assessments in a rater's profile, for LTCs and below, meets or exceeds 50 percent of the total number of OERs for a particular grade. This does not apply to NCOERs or AERs.

Rating chain

The rated Soldier's rating officials (rater, senior rater, and reviewer) as published on the rating scheme. For officer evaluations, (specialty branches and dual supervisory situations 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.

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.

Supplementary reviewer

The supplementary reviewer has the primary role of providing oversight in the evaluation reporting process. They ensure compliance with the evaluation reporting process, policy guidance of this regulation and procedural guidance in DA Pam 623–3, the accuracy of the completed report, and ensure non-uniformed Army rating officials provide clear, concise, and effective written communication, focused on the rated Soldier’s career and professional development, which allows effective decision making by HQDA.

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 Misfire

For DA Form 67–10–1 and DA Form 67–10–2 OERs, when the percentage of MOST QUALIFIED assessments in a senior rater’s profile meets or exceeds 50 percent of the total number of OERs for a particular grade. For DA Form 67–10–3, when the percentage of MULTI STAR POTENTIAL assessments in a senior rater’s profile exceeds 24 percent and/or when the cumulative total of MULTI STAR POTENTIAL and PROMOTE TO BG assessments combined in a senior rater’s profile meets or exceeds 50 percent of the total number of OERs for a particular grade. For DA Form 2166–9–2 and DA Form 2166–9–3 NCOERs, when the percentage of MOST QUALIFIED assessments in a senior rater’s profile exceeds 24 percent of the total number of NCOERs for a particular grade. This does not apply to AERs.

“Senior Rater Profile” report

For OERs and NCOERs, a documented rating history, compiled at HQDA; it displays the senior rater’s rating history by grade. Also known as the “DASH–2” report and accompanied by the senior rater evaluation timeliness report.

“Senior Rater Profile” report restart

For OERs and NCOERs, the deletion of an established rating history for all grades or a specific grade or grade grouping, if the senior rater meets all requirements for a restart. When accomplished, a new rating history (profile) is structured based on evaluation reports rendered following the restart.

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 their subordinates during the time they are suspended.

THRU date

The ending date of the period covered on an evaluation report; the due date for an annual evaluation report; the date on which an event warranting a report to be rendered occurs; or the last day of supervision/last duty day before a Soldier’s or a rating official’s departure.

Uniformed Army advisor

An Army Soldier who provides assistance and advice to rating officials (as required) pertaining to U.S. Army evaluations. This includes, but is not limited to, ensuring nonuniformed Army rating officials provide clear, concise, and effective written communication, focused on the rated Soldier’s career and professional development, which allows effective decision-making by HQDA. Uniformed Army Advisors perform supplementary reviews (as required).

Unit

The actual military unit, organization, or agency to which the rated Soldier was assigned and performed duty during the rating period.

Values or Army Values

Army Values consist of the principles, standards, and qualities considered essential for successful Army leaders (Loyalty, Duty, Respect, Selfless service, Honor, Integrity, Personal courage). They are fundamental to helping Soldiers

and Army Civilians make the right decision in any situation. Teaching values is an important leader responsibility by creating a common understanding of the Army Values and expected standards. The Army recognizes seven values that all Army members must develop.

Section III

Special Abbreviations and Terms

This section contains no entries.

UNCLASSIFIED

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