

**Department of the Army  
Pamphlet 623–3**

**Personnel Evaluation**

# **Evaluation Reporting System**

**Headquarters  
Department of the Army  
Washington, DC  
12 February 2025**

**UNCLASSIFIED**

# **SUMMARY of CHANGE**

DA PAM 623-3  
Evaluation Reporting System

This mandated revision, dated 12 February 2025—

- o Removes Diversity, Equity, Inclusion and Accessibility Policy and Programs in accordance with Executive Order 14151 (throughout).
- o Makes administrative changes (throughout).

**Headquarters  
Department of the Army  
Washington, DC  
12 February 2025**

**\*Department of the Army  
Pamphlet 623–3  
Effective 12 February 2025**

## **Personnel Evaluation Evaluation Reporting System**

By Order of the Secretary of the Army:

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

Official:

  
Julie A. Blanks  
*Acting Administrative Assistant to the  
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**History.** This publication is a mandated revision. The portions affected by this mandated revision are listed in the summary of change.

**Summary.** This pamphlet provides procedural guidance on completing tasks for the Army's Evaluation Reporting System, including officer, noncommissioned officer, and academic evaluation reports focused on the assessment of performance and potential. It includes operating tasks and rules in support of operating tasks. It has been revised to update policy on use of new academic evaluation report forms; incorporate Army Directive 2018–07–8 removing multi-source assessment and feedback requirements and information on officer evaluation reports; incorporate Army Directive 2018–10; describe the use of the Army's Evaluation Entry System as the primary method for creating, tracking, and submitting DA Form 1059, DA Form 1059–1, and DA Form 1059–2 evaluation reports completed on Service-members attending military Service schools and civilian institutions; describe

a new DA Form 1059–2 to the Army's form inventory, applicable for specific military training institutions; describe a new rater academic achievement box check system on academic evaluation reports, linking performance with Army leadership attributions and competencies; and describe a new reviewer overall academic achievement 4-tier box check system for DA Form 1059 and DA Form 1059–2. Final revisions include defining what significant administrative errors are actionable when requesting an administrative appeal.

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

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

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

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\*This pamphlet supersedes DA Pam 623–3, dated 27 September 2019.

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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 67–10–1A (Officer Evaluation Report Support Form) and DA Form 2166–9–1A (NCO Evaluation Report Support Form), known collectively as support forms; DA Form 67–10–1 (Company Grade Plate (O1 - O3; WO1 - CW2) Officer Evaluation Report), DA Form 67–10–2 (Field Grade Plate (O4 - O5; CW3 - CW5) Officer Evaluation Report), DA Form 67–10–3 (Strategic Grade Plate (O6) Officer Evaluation Report), and DA Form 67–10–4 (Strategic Grade Plate General Officer Evaluation Report), known collectively as DA Form 67–10 series officer evaluation reports (OERs); 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)), known collectively as DA Form 2166–9 series noncommissioned officer evaluation reports (NCOERs); and DA Form 1059 (Service School Academic Evaluation Report), DA Form 1059–1 (Civilian Institution Academic Evaluation Report), and DA Form 1059–2 (Senior Service and Command and General Staff College Academic Evaluation Report), known collectively as DA Form 1059 series academic evaluation reports (AERs). DA Form 67–10 series OERs, DA Form 2166–9 series NCOERs, and DA Form 1059 series AERs are collectively referred to as evaluation reports. Policy pertaining to each of these unique evaluation reports and support forms is contained in AR 623–3. Send requests for clarification or exceptions to procedures to the U.S. Army Human Resources Command (HRC) (AHRC–PDV–E) (see app B for address and contact information). Current information on updated applications, changes in procedural guidance, and training are available online at <https://www.hrc.army.mil/>.

#### **1–2. References and forms**

See appendix A.

#### **1–3. Explanation of abbreviations and terms**

See glossary.

#### **1–4. Evaluation report forms**

The Army's Evaluation Entry System (EES) provides the most current versions of mandatory forms used in the evaluation process. Additionally, mandatory forms used in the evaluation process are available at the Army's Publishing Directorate's website (<https://armypubs.army.mil/>). This pamphlet addresses specific instructions for the preparation and submission of evaluation reports and support forms.

#### **1–5. Privacy Act statement**

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

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

*c. Routine use.* There are no specific routine uses anticipated for these reports; however they may be subject to a number of proper and necessary routine uses identified in the system of records notice(s) specified in paragraph 1–5*b*.

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

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

## **Chapter 2**

### **Officer Evaluation Report Forms and Preparation**

#### **Section I**

##### **DA Form 67–10–1A**

###### **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. During the rating period, the rating official 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, the rating official enables the rated officer to provide input to the appropriate version of the series DA Form 67–10 series OERs.

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

Use of DA Form 67–10–1A is mandatory for use by all Army officers in grades warrant officer one (WO1) through colonel (COL). Content hereafter captures this with “(or equivalent)” language associated with support form content, as rating officials of brigadier general (BG) and above may choose to utilize other mediums. During the rating period, the rating official 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, the rating official enables the rated officer to provide input to the appropriate version of the series DA Form 67–10 series OERs.

*b. Process.* Rating officials of second lieutenants (2LTs) through COLs and 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.

###### *(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 in parts IV and V of the form. Always use the current version of the form. Using the wizard application within the EES allows the automatic population of 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. Autopopulated administrative data may be manually corrected, as needed.

*Note.* The use of SSNs on support forms is optional because these documents are used exclusively at the local level; however, full DOD ID 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. For rating officials who do not possess a DOD ID number, an SSN is then required.

*(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 and support a healthy workplace environment conducive to the growth and development of personnel and the rated officer. The rater will also discuss and establish goals for supporting the Equal Opportunity and Equal Employment Opportunity (EEO) programs, fostering a climate of dignity and respect, adhering to the Sexual harassment and assault response and prevention (SHARP) program’s initiatives, and preventing and eliminating sexual harassment and sexual assault in their unit (to be included in part V, block A “CHARACTER”). 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 DA Form 67–10–1A. The rater will enter the date initial counseling occurred and the dates the rated officer had access to their 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 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 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 followup performance counseling with the rated officer to make needed adjustments to objectives.

(a) For lieutenant (LTs) and WO1s, quarterly counseling is mandatory; for captains (CPTs) and chief warrant officers two (CW2s), the counseling goal is once around midpoint (3 to 6 months into the rating period); for field grade officers, followup counseling is conducted 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 or supporting the equal opportunity and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP program's initiatives, and preventing and eliminating sexual harassment and sexual assault in their unit (to be included in part V, block A "CHARACTER"). 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, comments as needed in part VII, 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 the rated officer's signature and date in part VII. The rater will retain a copy for record.

(3) *End of the rating period.* 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 DA Form 67-10-1A as input in preparing his or her evaluation of the rated officer. The rater uses the DA Form 67-10-1A as input to complete parts I through IV of the OER. They then forward 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 fig 2-1 for a sample of DA Form 67-10-1A). Additional attachments to DA Form 67-10-1A may be used, when required.

HQDA#:					
<b>OFFICER EVALUATION REPORT SUPPORT FORM</b> For use of this form, see AR 623-3 ; the proponent agency is DCS, G-1.					<b>SEE PRIVACY ACT STATEMENT IN AR 623-3</b>
<b>PART I - ADMINISTRATIVE (Rated Officer)</b>					
a. NAME (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL	b. SSN (or DOD ID No.)  000000000	c. GRADE/RANK  1LT	d. DATE OF RANK (YYYYMMDD)  20180901	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 CODE  WBAOAA		i. THRU DATE OF LAST COMPLETED EVALUATION  20180331
j. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address					
<b>PART II - AUTHENTICATION</b>					
a1. NAME OF RATER (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL	a2. SSN (or DOD ID No.)  	a3. RANK  CPT	a4. POSITION  Company CDR	a5. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address	
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)  LAST, FIRST, MIDDLE INITIAL	c2. SSN (or DOD ID No.)  	c3. RANK  LTC	c4. POSITION  Battalion CDR	c5. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address	
c6. SENIOR RATER'S ORGANIZATION  5th Engineer Battalion Fort Leonard Wood, Missouri 65473	c7. BRANCH  	c8. COMPONENT  RA	c9. SENIOR RATER PHONE NUMBER  		
d1. INDIVIDUAL TO PERFORM SUPPLEMENTARY REVIEW (Last, First, Middle Initial) - (IF REQUIRED)  LAST, FIRST, MIDDLE INITIAL	d2. RANK  COL	d3. POSITION  Brigade CDR	d4. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		
<b>PART III - VERIFICATION OF FACE - TO - FACE DISCUSSION</b>					
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>20180402</u> RATED OFFICER INITIALS <u> </u> RATER INITIALS <u> </u> SENIOR RATER INITIALS <u> </u> RATED OFFICER ACCESS TO SUPPORT FORMS PRIOR TO INITIAL COUNSELING: RATER (Date <u>20180318</u> ) SENIOR RATER (Date <u>20180318</u> )					
PERIODIC RATER / RATED OFFICER FOLLOW-UP FACE-TO-FACE COUNSELINGS:					
DATE <u>20180702</u>	RATED OFFICER INITIALS <u> </u>	RATER INITIALS <u> </u>	SENIOR RATER INITIALS <u> </u>		
DATE <u>20180702</u>	RATED OFFICER INITIALS <u> </u>	RATER INITIALS <u> </u>	SENIOR RATER INITIALS <u> </u>		
DATE <u>20180702</u>	RATED OFFICER INITIALS <u> </u>	RATER INITIALS <u> </u>	SENIOR RATER INITIALS <u> </u>		
<b>PART IV - RATED OFFICER - DUTIES AND RESPONSIBILITIES</b>					
a. PRINCIPAL DUTY TITLE:  Executive Officer	b. POSITION ACC/BRANCH:  12A00				
c. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES:  (See DA Pam 623-3, para 2-1)					
<b>PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS</b>					
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
<b>A. CHARACTER:</b> (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>B. PRESENCE:</b> (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 Principles, see ADP 6-0, addressed under fitness and resilience) APFT GOALS: PU <u>90</u> SU <u>92</u> RUN <u>12:40</u> 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)						
<b>C. INTELLECT:</b> (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)						
<b>D. LEADS:</b> (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)						
<b>E. DEVELOPS:</b> (Creates a positive environment/Fosters esprit de corps, prepares self, Develops others, Stewards the profession - 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>F. ACHIEVES:</b> (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, MAR 2019

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APD LC v1.00ES

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

HQDA#:	
<b>PART VI - RATER SELF DEVELOPMENT GOALS</b>	
(See DA Pam 623-3, para 2-1)	
<b>PART VII - SENIOR RATER COMMENTS</b>	
(See DA Pam 623-3, para 2-1)	
RATED SOLDIER -SIGNATURE AND DATE: _____	
<b>SAMPLE</b>	
DA FORM 67-10-1A, MAR 2019	
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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 officer evaluation reports**

*a. Purpose.* The DA Form 67–10 series OERs 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. Ensure the appropriate DA Form 67–10 series OER is selected and utilized when rated Soldiers are eligible to use the promotable (P) identifier in part I, block c of the officer evaluation report (see AR 623–3). DA Form 67–10 series OERs consist of the following:

- (1) DA Form 67–10–1 for 2LT through WO1 through CW2.
- (2) DA Form 67–10–2 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 for COL.
- (4) DA Form 67–10–4 for BG.

*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. 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 common access card (CAC)-enabled digital signatures, and digitally submit the completed OER to HQDA via the EES. 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 United States 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#:						
<b>COMPANY GRADE PLATE (O1 - O3; WO1 - CW2) OFFICER EVALUATION REPORT</b> 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>
<b>PART I - ADMINISTRATIVE</b> (Rated Officer)						
a. NAME (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL		b. SSN (or DOD ID No.)  000000000		c. RANK  1LT	d. DATE OF RANK (YYYYMMDD)  20180901	e. BRANCH  EN
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND  50th MRBC, 5th EN BN, Ft. Leonard Wood, MO 65473 FORSCOM		h. UIC  WBAOOA		i. REASON FOR SUBMISSION  02   Annual		
j. PERIOD COVERED  FROM (YYYYMMDD) 20180401	k. RATED MONTHS  20190331	l. NON RATED CODES  12	m. NO. OF ENCLOSURES  0	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		
<b>PART II - AUTHENTICATION</b> (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)  LAST, FIRST, MIDDLE INITIAL		a2. SSN (or DOD ID No.)  111111111		a3. RANK  CPT	a4. POSITION  Company Commander	
a5. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		a6. RATER SIGNATURE		a7. DATE (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)  LAST, FIRST, MIDDLE INITIAL		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)  .gov or .mil email address		c10. SENIOR RATER SIGNATURE	
c8. SENIOR RATER PHONE NUMBER  777-888-9999						c11. DATE (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 type="checkbox"/> No		e1. RATED OFFICER SIGNATURE		e2. DATE (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)				
<b>PART III - DUTY DESCRIPTION</b>						
a. PRINCIPAL DUTY TITLE  Executive Officer		b. POSITION ACC/BRANCH  12A00				
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES						
(See DA Pam 623-3, para 2-5)						
<b>PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES</b> (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: <input type="checkbox"/> Yes <input type="checkbox"/> No (explain in comments below)						
EXCELS (49%)  <input type="checkbox"/>		PROFICIENT  <input type="checkbox"/>		CAPABLE  <input type="checkbox"/>		UNSATISFACTORY  <input type="checkbox"/>
Comments:  (See DA Pam 623-3, para 2-6)						

DA FORM 67-10-1, MAR 2019

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

HQDA#:				
NAME: LAST, FIRST, MIDDLE INITIAL		SSN (or DOD ID No.) 000000000	PERIOD COVERED: FROM (YYYYMMDD) 20180401	THRU (YYYYMMDD) 20190331
c. 1) <b>Character:</b> <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) <b>Presence:</b> <i>(Military and Professional Bearing, Fitness, Confident, Resilient)</i>	(See DA Pam 623-3, para 2-6)			
c. 3) <b>Intellect:</b> <i>(Mental Agility, Sound Judgment, Innovation, Interpersonal Tact, Expertise)</i>	(See DA Pam 623-3, para 2-6)			
c. 4) <b>Leads:</b> <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) <b>Develops:</b> <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) <b>Achieves:</b> <i>(Gets Results)</i>	(See DA Pam 623-3, para 2-6)			
<b>PART V - INTERMEDIATE RATER</b>				
(See DA Pam 623-3, para 2-7)				
<b>PART VI - SENIOR RATER</b>				
<b>a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)</b> <input type="checkbox"/> <b>MOST QUALIFIED</b> <small>(limited to 49%)</small> <input type="checkbox"/> <b>HIGHLY QUALIFIED</b> <input type="checkbox"/> <b>QUALIFIED</b> <input type="checkbox"/> <b>NOT QUALIFIED</b>	b. I currently senior rate _____ Army Officers in this grade.			
	c. COMMENTS ON POTENTIAL:			
	(See DA Pam 623-3, para 2-8)			
	d. List 3 future <b>SUCCESSIVE</b> assignments for which this Officer is best suited:			
	(See DA Pam 623-3, para 2-8)			

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

HQDA#:								
<b>FIELD GRADE PLATE (O4 - O5; CW3 - CW5) OFFICER EVALUATION REPORT</b> 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>		
<b>PART I - ADMINISTRATIVE (Rated Officer)</b>								
a. NAME (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL		b. SSN (or DOD ID No.)  000000000	c. RANK  MAJ	d. DATE OF RANK (YYYYMMDD)  20180704	e. BRANCH  AG	f. COMPONENT (Status Code)		
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND  HHC, 5th EN BN, Fort Leonard Wood, MO 65473 FORSCOM		h. UIC  WBAOAA		i. REASON FOR SUBMISSION  03   Change of Rater				
j. PERIOD COVERED FROM (YYYYMMDD) 20180904	k. RATED MONTHS THRU (YYYYMMDD) 20190304	l. NON RATED CODES 6	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)  gov or .mil email address				
<b>PART II - AUTHENTICATION</b> (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)  LAST, FIRST, MIDDLE INITIAL		a2. SSN (or DOD ID No.)  111111111	a3. RANK  MAJ	a4. POSITION  Brigade Executive Officer				
a5. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		a6. RATER SIGNATURE		a7. DATE (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)  LAST, FIRST, MIDDLE INITIAL		c2. SSN (or DOD ID No.)  222222222	c3. RANK  COL	c4. POSITION  Brigade Commander				
c5. SENIOR RATER'S ORGANIZATION 4th Maneuver Enhanced BDE, Fort Leonard Wood, Missouri, 65473		c6. BRANCH EN	c7. COMPONENT RA	c8. SENIOR RATER PHONE NUMBER 777-888-9999	c9. EMAIL ADDRESS (.gov or .mil) .gov or .mil email address	c10. SENIOR RATER SIGNATURE		
d. 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		e1. RATED OFFICER SIGNATURE		e2. DATE (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)						
<b>PART III - DUTY DESCRIPTION</b>								
a. PRINCIPAL DUTY TITLE Brigade S-1		b. POSITION AOC/BRANCH 42A00						
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES  (See DA Pam 623-3, para 2-11)								
d. 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, MAR 2019								
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Figure 2–3. Example of DA Form 67–10–2 (page 1)

HQDA#:											
NAME LAST, FIRST, MIDDLE INITIAL	SSN (or DOD ID No.) 000000000	PERIOD COVERED: FROM (YYYYMMDD) 20180904	THRU (YYYYMMDD) 20190304								
<p>c2. 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 situations; 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>											
COMMENTS:  (See DA Pam 623-3, para 2-12)											
<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> <table style="margin-left: auto; margin-right: auto;"> <tr> <td><b>EXCELS (49%)</b></td> <td><b>PROFICIENT</b></td> <td><b>CAPABLE</b></td> <td><b>UNSATISFACTORY</b></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>				<b>EXCELS (49%)</b>	<b>PROFICIENT</b>	<b>CAPABLE</b>	<b>UNSATISFACTORY</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>EXCELS (49%)</b>	<b>PROFICIENT</b>	<b>CAPABLE</b>	<b>UNSATISFACTORY</b>								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
<p>Comments:  (See DA Pam 623-3, para 2-12)</p>											
<b>PART V - INTERMEDIATE RATER</b>											
<p>(See DA Pam 623-3, para 2-13)</p>											
<p><b>PART VI - SENIOR RATER</b></p>											
<p>a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)</p> <p><input type="checkbox"/> MOST QUALIFIED (limited to 49%)  <input type="checkbox"/> HIGHLY QUALIFIED  <input type="checkbox"/> QUALIFIED  <input type="checkbox"/> NOT QUALIFIED</p>	<p>b. I currently senior rate _____ Army Officers in this grade.</p> <p>c. COMMENTS ON POTENTIAL:  (See DA Pam 623-3, para 2-14)</p>										
	<p>d. List 3 future <b>SUCCESSIVE</b> assignments for which this Officer is best suited:  (See DA Pam 623-3, para 2-14)</p>										

DA FORM 67-10-2, MAR 2019

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

HQDA#:						
<b>STRATEGIC GRADE PLATE (O6) OFFICER EVALUATION REPORT</b> 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>
<b>PART I - ADMINISTRATIVE (Rated Officer)</b>						
a. NAME (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL			b. SSN (or DOD ID No.)  222222222	c. RANK  COL	d. DATE OF RANK (YYYYMMDD)  20180301	e. BRANCH  IN
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND  HQDA, OACSIM PENTAGON, WASHINGTON, DC 20310			h. UIC  W089AA	i. REASON FOR SUBMISSION  04   Change of Duty		
j. PERIOD COVERED FROM (YYYYMMDD) 20180401	k. RATED MONTHS 4	l. NON RATED CODES I,Q	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		
<b>PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)</b>						
a1. NAME OF RATER (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL			a2. SSN (or DOD ID No.)  111111111	a3. RANK  LTG	a4. POSITION  ACSIM	
a5. EMAIL ADDRESS (.gov or .mil) .gov or .mil email address			a6. RATER SIGNATURE			a7. DATE (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)  LAST, FIRST, MIDDLE INITIAL			c2. SSN (or DOD ID No.)  111111111	c3. RANK  LTG	c4. POSITION  ACSIM	
c5. SENIOR RATER'S ORGANIZATION HQDA, ACoIS Installation Management, 600 Army Pentagon, Washington, DC 20310	c6. BRANCH GO	c7. COMPONENT RA	c9. EMAIL ADDRESS (.gov or .mil) .gov or .mil email address	c10. SENIOR RATER SIGNATURE		
c8. SENIOR RATER PHONE NUMBER 999 999 9999						c11. DATE (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 type="checkbox"/> No			e1. RATED OFFICER SIGNATURE			e2. DATE (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)			
<b>PART III - DUTY DESCRIPTION</b>						
a. PRINCIPAL DUTY TITLE Executive Officer			b. POSITION ACC/BRANCH 01A00			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES  (See DA Pam 623-3, para 2-17)						
<b>PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)</b>						
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:  (Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)	(See DA Pam 623-3, para 2-18)					

DA FORM 67-10-3, MAR 2019

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

<p>HQDA#:</p> <table border="1"> <tr> <td>NAME LAST, FIRST, MIDDLE INITIAL</td> <td>SSN (or DOD ID No.) 22222222</td> <td>PERIOD COVERED: FROM (YYYYMMDD) 20180401</td> <td>THRU (YYYYMMDD) 20181001</td> </tr> </table> <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>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>				NAME LAST, FIRST, MIDDLE INITIAL	SSN (or DOD ID No.) 22222222	PERIOD COVERED: FROM (YYYYMMDD) 20180401	THRU (YYYYMMDD) 20181001
NAME LAST, FIRST, MIDDLE INITIAL	SSN (or DOD ID No.) 22222222	PERIOD COVERED: FROM (YYYYMMDD) 20180401	THRU (YYYYMMDD) 20181001				
<p>COMMENTS ON PERFORMANCE:</p> <p>(See DA Pam 623-3, para 2-18)</p>							
<p>COMMENTS ON POTENTIAL:</p> <p>(See DA Pam 623-3, para 2-18)</p>							
<p><b>PART V - INTERMEDIATE RATER</b></p>							
<p>(See DA Pam 623-3, para 2-19)</p>							
<p><b>PART VI - SENIOR RATER</b></p>							
<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, MAR 2019

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

HQDA#:					
<b>STRATEGIC GRADE PLATE GENERAL OFFICER EVALUATION REPORT</b> 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>
<b>PART I - ADMINISTRATIVE (Rated Officer)</b>					
a. NAME (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL.		b. SSN (or DOD ID No.)  111111111	c. RANK  BG	d. DATE OF RANK (YYYYMMDD)  20181201	e. BRANCH  GO
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  FROM (YYYYMMDD) 20180401	k. RATED MONTHS  7	l. NON RATED CODES  RA	m. NO. OF ENCLOSURES  0	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address	
<b>PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)</b>					
a1. NAME OF RATER (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL.		a2. SSN (or DOD ID No.)  222222222	a3. RANK  LTG	a4. POSITION  CG, IMCOM	a7. DATE (YYYYMMDD)
a5. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address		a6. RATER SIGNATURE			
b1. NAME OF SENIOR RATER (Last, First, Middle Initial)  LAST, FIRST, MIDDLE INITIAL.		b2. SSN (or DOD ID No.)  222222222	b3. RANK  LTG	b4. POSITION  CG, IMCOM	b11. DATE (YYYYMMDD)
b5. SENIOR RATER'S ORGANIZATION  Installation Management Command 600 Army Pentagon Drive, Washington DC 20310		b6. BRANCH  GO	b7. COMPONENT  RA	b8. SENIOR RATER PHONE NUMBER  999 999 9999	b9. EMAIL ADDRESS (.gov or .mil)  .gov or .mil email address
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			d2. DATE (YYYYMMDD)
<b>PART III - DUTY DESCRIPTION</b>					
a. PRINCIPAL DUTY TITLE  G8/Director of Resource Management		b. POSITION ACC/BRANCH  GO/BC36 (FIN MG)			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES					
(See DA Pam 623-3, para 2-23)					
<b>PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)</b>					
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)					
<b>PART V - SENIOR RATER EVALUATION</b>					
COMMENTS ON CHARACTER & POTENTIAL:  (See DA Pam 623-3, para 2-25)					
DA FORM 67-10-4, NOV 2015					
APO LC v1.00ES					

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

### Section III

#### DA Form 67-10-1

##### 2-3. Part I, Administrative data

Part I of DA Form 67-10-1 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 details instructions for completing part I of DA Form 67-10-1.

**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), and suffix) in all capital letters.

**Reference:** None

**DA Form 67-10-1, part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated officer's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123-45-6789) may be used.

**Reference:** None

**DA Form 67-10-1, part I: block c—Rank**

**Action required:** Enter the rated officer's 3-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, they 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.
- For ARNG officers, promotions and 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-character branch entry will not be "GS."

**Reference:** DA Pam 600-3

**DA Form 67-10-1, part I: block f—Component (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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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 67-10-1, part I: block g—Unit, organization, station, ZIP Code or APO, major command**

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

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**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. 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 67–10–1 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. The address should reflect the rated officer's location as of the "THRU" date of the DA Form 67–10–1. 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 67–10–1, part I: block h—UIC**

**Action required:** Enter the rated officer's unit identification code (UIC). 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. On DA Form 67–10–1 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.

— The "THRU" date on "Change of Rater" and "Change of Duty" DA Form 67–10–1 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 67–10–1 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 when code 19 "AHRC directed" is used in block i.

**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. 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 l 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

Part II of DA Form 67–10–1 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. Table 2–2 details instructions for completing part II. 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. 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.

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

**DA Form 67–10–1, part II:** blocks a1 through a7—Rater’s information

**Action required:** Enter the rater’s information: name (last, first, middle initial (MI), and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

- Raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For raters who do not possess an issued DOD ID number, enter their SSN.
- 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.longemailthatexceeds@textspace@).
- 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), or universally administrative (UA) number) in the rank block; for members of the senior executive service (SES), “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, Australia (AU), (Italy), and Great Britain (GBR)). If the allied forces officer does not possess a DOD ID number, the 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 (to include North Atlantic Treaty Organization (NATO) equivalent), allied force rater’s country, duration of report period covered, and contact information, including a valid email address (see fig 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 for use when assessing U.S. Army officers.
- An issued international identification number is not associated with the ability to access EES; it is specific to profiling requirements. Allied forces rating officials may not have an 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 a1 through a7 and c1 through c11.
- On DA Form 67–10–1 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) when code 19 “AHRC directed” is used in part I, block i.

**Reference:** None

**DA Form 67–10–1, part II:** blocks b1 through b7—Intermediate rater’s information

**Action required:** Enter the intermediate rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

- Intermediate raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For intermediate raters who do not possess an issued DOD ID number, enter their SSN (optional).

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

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- 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.
- 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 number) 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 (or DOD ID number) block blank. Other data remain the same.

**Reference:** None

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**DA Form 67–10–1, part II: blocks c1 through c11—Senior rater’s information**

**Action required:** Enter the senior rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, organization, branch, component, telephone number, email address, signature, and validation date.

- Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.
- For senior raters who do not possess an issued DOD ID number, enter their SSN.
- 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.longemailthatexceeds@textspace@).
- 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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), and U.S. Coast Guard (USCG)) in the branch block in part II, block c6. 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, or UA number) 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 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, and “ARNG” for Army National Guard. All others will enter “none.”
- The senior rater’s signature and date are required on the completed DA Form 67–10–1.
- 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. 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. 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 67–10–1 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 when code 19 “AHRC directed” is used in part I, block i.
- 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

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

**Action required:** If referral of 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

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

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**DA Form 67–10–1, part II:** blocks e1 and e2—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.

- On DA Form 67–10–1 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” or “The rated officer refused to sign”).
- If the rated officer's signature is left blank in part II, block e1, 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.
- A DA Form 67–10–1 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. Using the electronic DA Form 67–10–1 within the EES will allow the senior rater to generate an automated referral memorandum as a built-in enclosure to the DA Form 67–10–1.

**Reference:** None

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**DA Form 67–10–1, 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 67–10–1 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 DA Form 67–10–1 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.
- Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
- 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

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## **2–5. Part III, Duty description**

Part III of DA Form 67–10–1 provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct. The duty description on DA Form 67–10–1 can be automatically populated from the duty description on DA Form 67–10–1A when creating from the DA Form 67–10–1A using the wizard application associated with the electronic form within the EES. Table 2–3 details instructions for completing part III of DA Form 67–10–1.

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

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**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. The principal duty title should be the same as the duty title found on the officer's record brief.

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

**Reference:** None

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

**Action required:** For commissioned officers, the position AOC or 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. It should be the same position code as on the officer's record brief.

**Reference:** None

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**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 DA Form 67-10-1 should be the same as the one on 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 Reserve Component (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

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## **2-6. Part IV, Performance evaluation—professionalism, competencies, and attributes**

Part IV of DA Form 67-10-1 provides an assessment of a rated officer's performance, professionalism, 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 OERs 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).

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

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**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 pushups, situps, 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.

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

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- 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 reasons for failure 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, or temporary profile, the rater will enter the following statement in part IV, block a: "Exempt from APFT requirement in accordance with AR 40-501." 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 3-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 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 67-10-1 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

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**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 (see 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." 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 or full foot loss. It does not include partial hand, foot, fingers, or toes.

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

- 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 applies 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 and DA Form 67-10-1A use validation.

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

— 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 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.

— 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 DA Form 67-10-1. DA Forms 67-10-1 will receive an HQDA electronically generated label that reflects the rater's profile at the time of the “lock” verification when the report is processed at HQDA. 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” overall assessments prior to report submission to HRC will require a memorandum request from the rater's senior rater. This memorandum request must be submitted to HRC, Evaluation Branch for review and approval.

— The rater will enter the total number of Army officers of the same rank as the rated officer that 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 senior 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. Senior raters 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 in table 2-6.

**Reference:** None**DA Form 67-10-1, part IV:** blocks c—Attributes and competencies

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

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**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 senior rater is serving as both rater and senior rater (see table 2-6).

**Reference:** ADP 6-22 and ADRP 6-22

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**DA Form 67-10-1, part IV: block c.1—Character**

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 promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, blocks c.1 though c.6 (if required).

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

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

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 (see ADRP 6-22 for a more detailed explanation).

- a. Loyalty: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. Duty: fulfills obligations (professional, legal, and moral).
- c. Respect: treats people as they should be treated.
- d. Selfless Service: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. Honor: adheres to the Army's publicly declared code of values.
- f. Integrity: does what is right, legally and morally.
- g. 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 Ethos 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:** ADP 6-22 and ADRP 6-22

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**DA Form 67-10-1, part IV: block c.2—Presence**

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.

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

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*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:** ADP 6-22 and ADRP 6-22

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**DA Form 67-10-1, part IV: block c.3—Intellect**

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:* 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:* 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:* 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 displaying self-control, balance, and stability in situations.

*Expertise:* 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:** ADP 6-22 and ADRP 6-22

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**DA Form 67-10-1, part IV: block c.4—Leads**

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

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

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requests. Examples include showing personal interest in a follower's well-being, offering praise, and understanding a follower's perspective.

*Builds 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:** ADP 6-22 and ADRP 6-22

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**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 and supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER.
- 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:** ADP 6-22 and ADRP 6-22

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

Achieves focuses on accomplishing the mission. Mission accomplishment coexists 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:** ADP 6-22 and ADRP 6-22

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## **2–7. Part V, Intermediate rater (if applicable)**

Part V of 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 details instructions for completing part V.

**Table 2–5**  
**Intermediate rater for DA Form 67–10–1**

**DA Form 67–10–1, part V:** Intermediate rater (only included for specialty branches (Chaplain Corps, Judge Advocate General’s Corps (JAGC), and AMEDD) when there is a level of technical supervision between the rater and senior rater, or in dual supervisory situations, or 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).

**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 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 of DA Form 67–10–1 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. 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 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. For example, 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

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

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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.

— 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. A 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

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**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. 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

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**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 67–10–1 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, 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; or that multiple referral attempts have been made to the rated officer).

— 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; or (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.

— 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. A 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.

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

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- 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 part IV, blocks a and c.1 in the rater's portion of the DA Form 67–10–1. Part IV, block b 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 include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 2–19" (or para 2–20 as applicable) or "Serving as rater and senior rater in accordance with the Commanding General (CG), HRC exception to policy" when applicable. The senior rater may add additional comments addressing the performance of the rated officer within the comments section of part IV, block b; however, the senior rater will not complete the box check assessment in part IV, block b. The senior rater is required to complete part IV, block c.1 "Character." Remaining sections (part IV, blocks c.2 through c.6) are optional for completion by the senior rater. Promotion potential comments will be entered in part VI, block c. The senior rater will sign the DA Form 67–10–1 in both the senior rater's and the rater's signature blocks.

**Reference:** None

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**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. An exception to this rule exists for DA Form 67–10–1 on which the rater indicates an overall performance assessment of "UNSATISFACTORY" and the senior rater indicates a potential box rating of "NOT QUALIFIED." In this instance only, no successive duty positions are required.

**Reference:** None

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## Section IV

### DA Form 67–10–2

#### 2–9. Part I, Administrative data

Part I of DA Form 67–10–2 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 details instructions for completing part I of DA Form 67–10–2.

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**Table 2–7**  
**Administrative data for DA Form 67–10–2**

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**DA Form 67–10–2, part I: block a—Name**

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

**Reference:** None

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**DA Form 67–10–2, part I: part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated officer's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123–45–6789) may be used.

**Reference:** None

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**DA Form 67–10–2, part I: block c—Rank**

**Action required:** Enter the rated officer's 3-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, they 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.
- For ARNG officers, promotions and 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

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**DA Form 67–10–2, part I: block d—Date of rank**

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

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**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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO."

**Reference:** DA Pam 600–3

**DA Form 67–10–2, part I: block f—Component (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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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, organization, 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. 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 67–10–2 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. This code can be automatically populated by within the electronic form in the EES, 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. On DA Form 67–10–2 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.

— The "THRU" date on "Change of Rater" and "Change of Duty" DA Forms 67–10–2 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.

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

— On DA Form 67–10–2 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 when code 19 “AHRC directed” is used in block i.

**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. 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

**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

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## **2–10. Part II, Authentication**

Part II of 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. Table 2–8 details instructions for completing part II. 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. 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.

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

**DA Form 67–10–2, part II: blocks a1 through a7—Rater’s information**

**Action required:** Enter the rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

— Raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For raters who do not possess an issued DOD ID number, enter their SSN.

— 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@).

— 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 number) 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 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), (GBR), and so forth). If the allied forces officer does not possess a DOD ID number, the allied forces raters

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

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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 (to include NATO equivalent), allied force rater's country, duration of report period covered, and contact information to include a valid email address (see fig 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 for use when assessing U.S. Army officers.

- An issued international identification number is not associated with the ability to access to EES; it is specific to profiling requirements. Allied forces rating officials may not have an 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 a1 through a7 and c1 through c11.
- On DA Form 67–10–2 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) when code 19 "AHRC directed" DA Form 67–10–2 is used in part I, block i.

**Reference:** None

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**DA Form 67–10–2, part II: blocks b1 through b7—Intermediate rater's information**

**Action required:** Enter the intermediate rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

- Intermediate raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For intermediate raters who do not possess an issued DOD ID number, enter their SSN (optional).
- 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. 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 number) 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 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

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**DA Form 67–10–2, part II: blocks c1 through c11—Senior rater's information**

**Action required:** Enter the senior rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, organization, branch, component, telephone number, email address, signature, and validation date.

- Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.
- For senior raters who do not possess an issued DOD ID number, enter their SSN.
- 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.longemailthatexceeds@).
- 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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, USN, USAF, USMC, and USCG) in the branch block in part II, block c6. 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, or UA number) in the rank block; for members of

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

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the SES, “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, and “ARNG” for Army National Guard. All others will enter “none.”
- The senior rater’s signature and date are required on the completed DA Form 67–10–2.
- 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. 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. 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 67–10–2 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 when code 19 “AHRC directed” is used in part I, block i.
- 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

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

**Action required:** If referral of 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

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**DA Form 67–10–2, part II: blocks e1 and e2—Rated officer’s signature and date**

**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.

- On DA Form 67–10–2 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 67–10–2 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” or “The rated officer refused to sign”).
- 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.
- A DA Form 67–10–2 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. 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

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**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.

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

- 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.
- Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
- Using the electronic DA Form 67–10–2 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:** AR 623–3

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## **2–11. Part III, Duty description**

Part III of DA Form 67–10–2 provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct. The duty description on DA Form 67–10–2 can be automatically populated from the duty description on DA Form 67–10–1A when creating from DA Form 67–10–1A using the wizard application associated with the electronic form within the EES. Table 2–9 details instructions for completing part III of DA Form 67–10–2.

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**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. The principal duty should be the same as the duty title found on the officer’s record brief. On DA Form 67–10–2 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 AOC/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. It should be the same position code as on the officer’s record brief.

**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

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

Part IV of DA Form 67–10–2 provides an assessment of a rated officer’s performance, professionalism, 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 OERs 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).

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

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**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 pushups, situps, 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 67–10–2.

— 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 reasons for failure 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.” 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 3-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 67–10–2 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

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**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

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

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- 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.” 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 or full foot loss. It does not include partial hand, foot, 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 applies 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

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**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 functional area 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, and higher-level DA staff positions.

**Reference:** DA Pam 600–3

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**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

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**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 senior rater is serving as both rater and senior rater (see table 2–12).

**Reference:** ADP 6–22 and ADRP 6–22

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**DA Form 67–10–2, part IV: block d.1—Character**

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.

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

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**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 promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, block d.2 (if required).

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

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

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 (see ADRP 6–22 for a more detailed explanation).

- a. Loyalty: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. Duty: fulfills obligations (professional, legal, and moral).
- c. Respect: treats people as they should be treated.
- d. Selfless Service: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. Honor: adheres to the Army's publicly declared code of values.
- f. Integrity: does what is right, legally and morally.
- g. 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 Ethos 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:** ADP 6–22 and ADRP 6–22

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

**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 Army leaders strive to meet. The rater will comment on how well the officer promoted and supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER. 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:* 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.

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

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*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:* 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:* 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:* 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 displaying self-control, balance, and stability in situations.

*Expertise:* 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:* 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.

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

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*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.

*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 coexists 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:** ADP 6–22 and ADRP 6–22

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**DA Form 67–10–2, part IV:** block e—Overall performance assessment and DA Form 67–10–1A use validation.

**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 officer, the rater will place an "X" in the "UNSATISFACTORY" box.

— 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" rating 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.

— 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

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

- 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 67–10–2. DA Forms 67–10–2 will receive a HQDA electronically generated label that reflects the rater's profile at the time of the "lock" verification when the report is processed at HQDA. 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" overall performance assessments prior to report submission to HRC will require a memorandum request, from the rater's senior rater. This memorandum request must be submitted to HRC Evaluation Branch for review and approval.
- 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 (see 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 senior 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 CW4 (chief warrant officer four) P 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

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### **2–13. Part V, Intermediate rater (if applicable)**

Part V 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 details instructions for completing part V.

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

**DA Form 67–10–2, part V:** Intermediate rater (only included for specialty branches (Chaplain Corps, JAGC, and AMEDD) when there is a level of technical supervision between the rater and senior rater, or in dual supervisory situations, or 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).

**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 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

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### **2–14. Part VI, Senior rater**

*a.* Part VI of DA Form 67–10–2 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. 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 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.

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

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**DA Form 67–10–2, 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 QUALIFIED" box.

— 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.

— 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

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**DA Form 67–10–2, 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 OER accordingly. Promotable officers

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

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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 VI: 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 67-10-2 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 assignments, and level of assignments, 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; or that multiple referral attempts have been made to the rated officer).

— 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 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.

— 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. A DA Form 67-10-2 stating that the officer cannot sign due to CAC issues is unacceptable and such forms 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 part 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, paragraph 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 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. An exception to this rule exists for DA Form 67-10-2 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

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## **2-15. Part I, Administrative data**

Part I of DA Form 67-10-3 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 details instructions for completing part I of DA Form 67–10–3.

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

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**DA Form 67–10–3, part I:** block a—Name

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

**Reference:** None

**DA Form 67–10–3, part I:** block b—SSN (or DOD ID number)

**Action required:** Enter the rated officer's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123–45–6789) may be used.

**Reference:** None

**DA Form 67–10–3, part I:** block c—Rank

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

- 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, "LTC P").
- 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.
- For ARNG officers, promotions and 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 67–10–3, 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-character branch entry will not be "GS."

**Reference:** DA Pam 600–3

**DA Form 67–10–3, part I:** block f—Component (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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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 67–10–3, part I:** block g—Unit, organization, 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. 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 67–10–3 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

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

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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—UIC**

**Action required:** Enter the rated officer's UIC. 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. On DA Form 67-10-3 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 67-10-3, 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 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 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. The "THRU" date on "Change of Rater" and "Change of Duty" DA Form 67-10-3 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 67-10-3 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 when code 19 "AHRC directed" is used in block i.

**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. 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**

Part II of 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. Table 2-14 details instructions for completing part II. 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. 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.

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

**DA Form 67–10–3, part II:** blocks a1 through a7—Rater's information

**Action required:** Enter the rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

— Raters possessing a DOD-issued CAC may provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For raters who do not possess an issued DOD ID number, enter their SSN.

— 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 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.longemailthatexceeds@textspace@).

— 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 number) 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 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)). If the allied forces officer does not possess a DOD ID number, the 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 (to include NATO equivalent), allied force rater's country, duration of report period covered, contact information to include a valid email address (see fig 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 for use when assessing U.S. Army officers.

— An issued international identification number is not associated with the ability to access to EES; it is specific to profiling requirements. Allied forces rating officials may not have an 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 a1 through a7 and c1 through c11.

— On DA Form 67–10–3 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) when code 19 "AHRC directed" is used in part I, block i.

**Reference:** None

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**DA Form 67–10–3, part II:** blocks b1 through b7—Intermediate rater's information

**Action required:** Enter the intermediate rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

— Intermediate raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For intermediate raters who do not possess an issued DOD ID number, enter their SSN (optional).

— 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.longemailthatexceeds@textspace@). 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 number) in the rank block; for members

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

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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, 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 c1 through c11—Senior rater’s information

**Action required:** Enter the senior rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, organization, branch, component, telephone number, email address, signature, and validation date.

— Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.

— For senior raters who do not possess an issued DOD ID number, enter their SSN.

— 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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, USN, USAF, USMC, and USCG) in the branch block in part II, block c6. 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, or UA number) 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 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, and “ARNG” for Army National Guard. All others will enter “none.”

— The senior rater’s signature and date are required on the completed DA Form 67–10–3.

— 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. 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. 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 67–10–3 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 when code 19 “AHRC directed” is used in part I, block i.

— 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 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.

— On DA Form 67–10–3 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 67–10–3 prior to submission to HQDA using EES in accordance with AR 623–3.

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

- 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” or “The rated officer refused to sign”).
- 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.
- A DA Form 67–10–3 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. 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

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**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.

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.

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

— 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

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## 2–17. Part III, Duty description

Part III of DA Form 67–10–3 provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct. The duty description on the DA Form 67–10–3 can be automatically populated from the duty description on DA Form 67–10–1A when creating from DA Form 67–10–1A using the wizard application associated with the electronic form within the EES. Table 2–15 details instructions for completing part III of DA Form 67–10–3.

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**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. The principal duty should be the same as the duty title found on the officer’s record brief. On DA Form 67–10–3 for all AMEDD officers attached or assigned to the APMC, the principal duty title will be “APMC–Managed Officer.”

**Reference:** None

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**DA Form 67–10–3, part III: block b—Position AOC/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. It should be the same position code as on the officer’s record brief.

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**Table 2–15**  
**Duty description for DA Form 67–10–3—Continued**

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**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

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## **2–18. Part IV, Performance evaluation—professionalism, competencies and attributes**

Part IV of DA Form 67–10–3 provides an assessment of a rated officer's performance, professionalism, 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 OERs to emphasize and reinforce professionalism. They will be considered in the evaluation of the performance of all officers (see table 2–16 for OER attributes and competencies instructions).

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

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**DA Form 67–10–3, 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 pushups, situps, 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 reasons for failure 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.

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

- 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.” 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 3-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 67–10–3 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 67–10–3, 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.
- 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.” 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 or full foot loss. It does not include partial hand, foot, 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 applies 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 67–10–3, part IV: block b—Qualities for strategic assignments**

**Action required:** The rater may provide narrative comments 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 67–10–3, 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 (see AR 623–3) during the evaluation period. The focus is on the results achieved and the manner by which they were achieved.

**Reference:** ADP 6–22 and ADRP 6–22

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

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**DA Form 67–10–3, part IV:** block c.1—Character

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 promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, blocks c.2 (if required).

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

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

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 (see ADP 6–22 for a more detailed explanation).

- a. Loyalty: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. Duty: fulfills obligations (professional, legal, and moral).
- c. Respect: treats people as they should be treated.
- d. Selfless Service: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. Honor: adheres to the Army's publicly declared code of values.
- f. Integrity: does what is right, legally and morally.
- g. 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 Ethos 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:** ADP 6–22 and ADP 6–22

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**DA Form 67–10–3, 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 check the appropriate box concerning receipt of the DA Form 67–10–1A. Comments are mandatory in part IV, block c2 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.

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

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— 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, 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, paragraph 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 and supported a healthy workplace environment conducive to the growth and development of personnel when completing the OER. 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:* 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:* 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:* 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:* 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 displaying self-control, balance, and stability in situations.

*Expertise:* 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.

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

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**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:** 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.

**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 coexists 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:** ADP 6–22 and ADRP 6–22

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## **2–19. Part V, Intermediate rater (if applicable)**

Part V of DA Form 67–10–3 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 details instructions for completing part V.

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**Table 2–17**  
**Intermediate rater for DA Form 67–10–3**

**DA Form 67–10–3, part V:** Intermediate rater (only 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, or 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)

**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 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

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## **2–20. Part VI, Senior rater**

a. Part VI of DA Form 67–10–3 is the senior rater's assessment of the rated officer's potential. Table 2–18 details instructions for completing part VI. 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. A senior rater's subsequent statement that he or she rendered an inaccurate "RETAIN AS COLONEL" 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 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.

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**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.

— 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.

— A senior rater credit of five (5) "RETAIN AS COLONEL" will be awarded to the senior rater profile allowing use of the "MULTI–STAR POTENTIAL" box immediately. This provides flexibility to senior raters and eliminates some of the issues associated with immature profiles. No credit will be reissued in the event of an approved profile restart.

— 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 "MULTI–STAR 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 "MULTI–STAR POTENTIAL" box as applicable. If the rated officer's potential is below the majority of officers in the senior rater's population for that grade and the senior rater does not

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

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believe the rated officer should be retained on active duty, the senior rater will place an “X” in the “UNSATISFACTORY” box. In order to maintain a credible profile, senior raters must maintain a cumulative percentage of the upper two boxes combined (“PROMOTE TO BG” and “MULTI–STAR POTENTIAL”) less than 50 percent of the ratings for a given rank or the “MULTI–STAR POTENTIAL” box less than 24 percent of the ratings for a given rank. A report with a “MULTI–STAR POTENTIAL” rating that causes a senior rater’s profile to be or 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 “MULTI–STAR 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 “MULTI–STAR POTENTIAL” top box check from inadvertently profiling as a “RETAIN AS COLONEL” rating, senior raters need to maintain a “cushion” in the number of “MULTI–STAR POTENTIAL” and “PROMOTE TO BG” ratings given rather than impending to the line at less than 24 percent of “MULTI–STAR POTENTIAL” and 50 percent combined “MULTI–STAR POTENTIAL” and “PROMOTE TO BG.” This is best accomplished by limiting the combined “MULTI–STAR 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 Forms 67–10–3 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. 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

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**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. 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

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**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 EES 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 67–10–3 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 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, 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; or that multiple referral attempts have been made to the rated officer).

— 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; or (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.

— 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 EES to automatically enter the appropriate statement explaining why the rated officer’s signature is left blank in part II, block e. Otherwise, the EES may not allow the DA Form 67–10–3 to be submitted. A DA Form 67–10–3 stating that the officer cannot sign due to CAC issues is unacceptable and such forms 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

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

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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 part IV, block a through c1 in the rater's portion of the DA Form 67–10–3. Part IV, block c2 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 c2 comments section include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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

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**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. An exception to this rule exists for DA Form 67–10–3 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

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## Section V

### DA Form 67–10–4

#### 2–21. Part I, Administrative data

Part I of DA Form 67–10–4 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 details instructions for completing part I.

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

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**DA Form 67–10–4, part I: block a—Name**

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

**Reference:** None

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**DA Form 67–10–4, part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated officer's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123–45–6789) may be used.

**Reference:** None

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**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.
- For ARNG officers, promotions and 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

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**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

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

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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 67-10-4, part I: block e—Branch**

**Action required:** Enter the 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-character branch entry will not be "GS."

**Reference:** DA Pam 600-3

**DA Form 67-10-4, part I: block f—Component (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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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, organization, 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. 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 67-10-4 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—UIC**

**Action required:** Enter the rated officer's UIC. 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 67-10-4, 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. On DA Form 67-10-4 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.

— The "THRU" date on "Change of Rater" and "Change of Duty" DA Forms 67-10-4 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.

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

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- Use the YYYYMMDD format for “FROM” and “THRU” dates.
- On DA Form 67–10–4 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 when code 19 “AHRC directed” is used in block i.

**Reference:** None

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**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. 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

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**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

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**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

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**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

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## **2–22. Part II, Authentication**

Part II of 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. Table 2–20 details instructions for completing part II. 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. 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.

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

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**DA Form 67–10–4, part II: blocks a1 through a7—Rater’s Information**

**Action required:** Enter the rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, email, signature, and validation date.

— Raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For raters who do not possess an issued DOD ID number, enter their SSN.

— 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@). 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, or UA number) 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 who are not in any category above, enter appropriate grade level.

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

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- 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)). If the allied forces officer does not possess a DOD ID number, the 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 (to include NATO equivalent), allied force rater's country, duration of report period covered, contact information to include a valid email address (see fig 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 for use when assessing U.S. Army officers.
- An issued international identification number is not associated with the ability to access to EES; it is specific to profiling requirements. Allied forces rating officials may not have an 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 a1 through a7 and b1 through b11.
- On DA Form 67–10–4 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) when code 19 "AHRC directed" is used in part I, block i.

**Reference:** None

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**DA Form 67–10–4, part II: blocks b1 through b11—Senior rater's information**

**Action required:** Enter the senior rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), rank, position, organization, branch, component, telephone number, email address, signature, and validation date.

- Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.
  - For senior raters who do not possess an issued DOD ID number, enter their SSN.
  - 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.longemailthatexceeds@textspace@).
  - 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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, USN, USAF, USMC, and USCG) in the branch block in part II, block b6. 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, or UA number) 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 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."
  - The senior rater's signature and date are required on the completed DA Form 67–10–4.
- The senior rater will sign the 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. 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 67–10–4 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 when code 19 "AHRC directed" is used in part I, block i.
  - 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

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

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**DA Form 67–10–4, part II:** block c—Referred Report

**Action required:** If referral of a 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 d1 and d2—Rated officer’s signature and date

**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.

— On DA Form 67–10–4 for APMC-managed AMEDD officers who do not complete AT or 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.

— 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” or “The rated officer refused to sign”).

— 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. A DA Form 67–10–4 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. 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

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### **2–23. Part III, Duty description**

Part III of DA Form 67–10–4 provides for the duty description of the rated officer. The rating officials are responsible for ensuring that the duty description information is factually correct. The duty description on the DA Form 67–10–4 can be automatically populated from the duty description on DA Form 67–10–1A when creating from DA Form 67–10–1A using the wizard application associated with the electronic form within the EES. Table 2–21 details instructions for completing part III.

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

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**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. The principal duty should be the same as the duty title found on the officer’s record brief. On DA Form 67–10–4 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 AOC/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. It should be the same position code as on the officer’s record brief.

**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

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**Table 2-21**  
**Duty description for DA Form 67-10-4—Continued**

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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).

— 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

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#### **2-24. Part IV, Performance evaluation—professionalism, competencies, and attributes**

Part IV of DA Form 67-10-4 provides an assessment of a rated officer's performance, professionalism, 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 OERs 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).

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

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##### **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 pushups, situps, 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 reasons for failure 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." 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 3-event APFT or an alternate APFT, but they will not be considered as being on profile unless a current profile exists.

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**Table 2-22****Performance evaluation—professionalism and Army Values for DA Form 67-10-4—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."
- Deployed units unable to administer the APFT due to mission or conditions will annotate DA Form 67-10-4 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." 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.
- 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 or full foot loss. It does not include partial hand, foot, 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 applies 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 promoting the personal and professional development of subordinates; ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit.

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

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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—
  - a. Committed an act of sexual harassment or sexual assault;
  - b. Failed to report a sexual harassment or sexual assault;
  - c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
  - d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.
- 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, or retention, when applicable.
- In cases when the senior rater is also serving as both the rater and 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, paragraph 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 (see ADRP 6–22 for a more detailed explanation).

- a. Loyalty: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. Duty: fulfills obligations (professional, legal, and moral).
- c. Respect: treats people as they should be treated.
- d. Selfless Service: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. Honor: adheres to the Army's publicly declared code of values.
- f. Integrity: does what is right, legally and morally.
- g. 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 Ethos 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:* 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.

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

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*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:* 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:* 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:* 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 displaying self-control, balance, and stability in situations.

*Expertise:* 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:* 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.

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

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*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.

*Develops:* developing people and the organization with a long-term perspective requires leaders who—

1. 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.
2. 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.
3. Invest adequate time and effort to develop individual subordinates and build effective teams. Success demands a fine balance of teaching, counseling, coaching, and mentoring.
4. 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 coexists 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

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## **2–25. Part V, Senior rater**

a. Part V of DA Form 67–10–4 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.

c. Table 2–23 details instructions for completing part V of DA Form 67–10–4.

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

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**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 EES 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 67–10–4 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.

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

- 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, 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; or that multiple referral attempts have been made to the rated officer).
- 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; or (4) retaliated against a person making a complaint or report of sexual harassment or sexual assault.
- 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.
- A DA Form 67-10-4 stating that the officer cannot sign due to CAC issues is unacceptable and such forms 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 part IV, block a in the rater's portion of the DA Form 67-10-4. Part IV, block b 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 include "Serving as rater and senior rater in accordance with AR 623-3, paragraph 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

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## **Section VI**

### **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 EES website at <https://evaluations.hrc.army.mil> and select "Evaluation Status and Management Tools (ERS)" button.

*Note.* Rated noncommissioned officers (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. 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 require a memorandum request, from the rater's senior rater, to be submitted to HRC for approval and action. When the rater overall assessment cannot be CAC initialed "lock" due to OERs being prepared and submitted outside of EES, 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:

(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 or rank.
- c. The label will also contain the rated officer’s and rater’s names and 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 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 Officer Evaluation Reporting System. Content specific to NCOs 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 or rank.
- (7) “*GENERAL OFFICER*.” The rated officer is a general officer.
- (8) “*MULTI-STAR POTENTIAL*.” The number of ratings in the first box must be less than 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 is or 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 24 percent or more of all ratings in the profile for that grade are in the first box 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 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 VII**

### **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 67–10–4) 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). 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 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 (see AR 623–3 for referral process for OERs) 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; a referral memorandum is provided under enclosures 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 BN or brigade (BDE) adjutant (S1), administrative section, or HQDA, as appropriate.

(c) The other rating officials, if paragraph 2–28d 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 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 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.
3. This example memorandum is also applicable for Academic Evaluation Report (AER) referrals with obvious substitutions of OER referenced content with applicable AER content.

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 (select one):  
 [ a. ] Not to submit comments on my behalf.  
 [ b. ] 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)

*Notes:*

1. This example memorandum is also applicable for Academic Evaluation Report (AER) referral acknowledgements with obvious substitutions of OER referenced content with applicable AER content.

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.

(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 OERs 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. 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.” An “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 2–29*a* and 2–29*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 non-concurrence 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 fig 2–8 for a sample “Relief for Cause” directed by a non-rating official memorandum).

*c.* If the relief was directed by the senior rater or an individual other than the rated officer’s 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, or 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 Forms 67–10–4 that require review, a memorandum will need to be prepared and attached to the completed evaluation (see fig 2–9 for a sample supplementary review for “Relief for Cause” memorandum). 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 non-rating 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, NCOER or Academic Failure 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 service member 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 service member rater identification number for use when assessing U.S. Army officers or NCOs on Army evaluation reports for the following allied forces service member serving in the capacity of a rater.

*(Insert the allied force rater's complete name, rank, to include the NATO equivalent rank, country, duration of report period covered, contact information to include a valid email address).*

2. The following individual will serve as the allied forces service member's delegate. The identified delegate will provide required support and assistance to the allied forces service member for Army evaluation matters:

*(Insert the CAC enabled U.S Army Soldier/DA Civilian delegate's complete name, rank, contact information, duration to serve as the allied forces service member'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.*

*(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. This referral must be complete before a mandatory review and taking any of the actions in paragraphs 2–30*b* through 2–30*d*.

*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 2–30*c*(1) through 2–30*c*(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 (see app B for address).

(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 and 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 want to change or add to the original OER, no addendum will be prepared.

*b.* The addendum will contain the rated officer’s name, grade, 10-digit DOD ID number, and the period covered by the OER to which it applies (see paras 5–3 and 5–4 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 for acknowledgment and the opportunity to submit comments before sending it and any signed comments to HQDA (see app B for address). 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 Army Military Human Resource Record (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 (see AR 623-3 for specific instructions for referral).

## Section VIII

### 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 officer evaluation reports

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 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 errors contained within an OER. Following correction of these errors, the newly corrected OER will be resubmitted to HQDA using the EES. If corrections are made on paper copies of DA Form 67-10 series OERs, 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 officer evaluation reports

HQDA review of OERs may identify errors within the content of an OER. Such OERs will be indicated as "rejected" in the EES 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 or 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.
- 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 officer evaluation reports**

Code	Reason	Entered on OER
02	Annual report	"Annual"

**Table 2–24****Codes and reasons for submitting DA Form 67–10 series officer evaluation reports—Continued**

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" USAR only; for reassignment of USAR Soldiers to an IRR Control Group.
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 the Record"
10	Extended annual	"Extended Annual"
11	Rated officer failing selection for promotion	"Promotion"
12	REFRAD status: AT, active duty for training (ADT), ADOS–RC, ADOS, or CO–ADOS (RC only)	"REFRAT," "REFRADT," "REFRADOS–RC," "REFRADOS," or "REFRCO–ADOS" Used for USAR and National Guard Bureau (NGB) OERs only.
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"

Note. 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. 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 officer evaluation reports**

Code	Reason
A	Absent without leave, desertion, 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.

**Table 2-25  
Codes and reasons for nonrated periods for DA Form 67-10 series officer evaluation reports—Continued**

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, or SD less than 90 calendar days.
W	Prisoner of war.
X	Authorized absence for participation in special program.
Z	None of the above.

*Note.* 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. 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**

##### **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. 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. Autopopulated 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 and support a healthy workplace environment conducive to the growth and development of personnel. The rater will also discuss and establish goals for supporting the equal opportunity and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP program's initiatives, and reducing and eliminating sexual harassment and sexual assault in their unit within part IV and part V.

(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.

(d) 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 (see AR 623-3).

*Note.* Always use the current version of DA Form 2166-9-1A or DA Form 2166-9 series NCOER. 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. Autopopulated 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 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 NCO evaluation reports directly from the DA Form 2166-9-1A. For rating officials who do not possess a DOD ID number, an SSN is then required.

(2) *During the rating period.* The rated NCO uses the DA Form 2166-9-1A as a performance guide. The rater conducts periodic followup 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 and establish goals that promote and support a healthy workplace environment conducive to the growth and development of personnel and the rated NCO. The rater will also discuss and establish goals for supporting equal opportunity and EEO programs, fostering a climate of dignity and respect, adhering to the SHARP program's initiatives, and preventing and eliminating sexual harassment and sexual assault in their unit (to be included in part V, block a. "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 and supporting a healthy workplace environment conducive to the growth and development of personnel and discuss and update how well the rated NCO supports the equal opportunity and EEO programs, fostering a climate of dignity and respect and supporting the SHARP program's initiative, and preventing 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 that were 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 may provide input to rating officials to assist them with completion of the final DA Form 2166–9–1A but will not prepare their own 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 Form 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 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 fig 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 HRC, Evaluations Branch. 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#:							
<b>NCO EVALUATION REPORT SUPPORT FORM</b> For use of this form, see AR 623-3; the proponent agency is DCS, G-1.					<b>SEE PRIVACY ACT STATEMENT IN AR 623-3</b>		
<b>PART I - ADMINISTRATIVE DATA</b>							
a. NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL	b. SSN (or DOD ID No.) 1111111111	c. RANK MSG	d. DATE OF RANK 20180201	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) .gov or .mil email address					
i. SSD AND NCOES REQUIREMENT MET FOR NEXT GRADE OR NOMINATIVE/JOINT ASSIGNMENT?			MEL:	SSD:			
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO			SLC		SSD IV		
<b>PART II - AUTHENTICATION</b>							
a1. NAME OF RATER (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL	a2. SSN (or DOD ID No.) 5555555555	INITIAL DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)		
a3. RANK CPT AG Army Contracting Agency	DUTY ASSIGNMENT Battalion Commander			a4. RATER'S EMAIL ADDRESS (.gov or .mil) .gov or .mil email address			
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL	b2. SSN (or DOD ID No.) 6666666666	INITIAL DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)		DATE (MM/YY/YY)		
b3. RANK LTC AG Army Contracting Agency	DUTY ASSIGNMENT Acting Director			b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) .gov or .mil email address			
c1. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL	c2. SSN (or DOD ID No.) 7777777777						
c3. RANK COL AG Army Contracting Agency	DUTY ASSIGNMENT Brigade Commander			c4. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil) .gov or .mil email address			
d. RATED NCO'S INITIALS				INITIAL DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)	LATER DATE (MM/YY/YY)
<b>PART III - DUTY DESCRIPTION (Rater)</b>							
a. PRINCIPAL DUTY TITLE <b>Contracting Command NCOIC</b>	b. DUTY MOSC <b>92Y50G1</b>						
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)							
<b>PART IV - PERFORMANCE GOALS AND EXPECTATIONS (Rated NCO)</b>							
INDICATE YOUR PERFORMANCE GOALS AND EXPECTATIONS DURING THIS RATING PERIOD: (See DA Pam 623-3, para 3-1)							

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APD LC v1.00E8

Figure 3–1. Example of DA Form 2166–9–1A (page 1)

HQDAR:	
<b>PART V - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>	
<b>a. CHARACTER:</b> (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>b. PRESENCE:</b> (Military and professional bearing, Fitness, Confidence, Resilience)	
APFT GOALS: PU: <u>81</u> SU: <u>78</u> RUN: <u>13:20</u> HT/WT: _____ (ONLY AS NEEDED)	CURRENT RECORD APFT: a. APFT Pass/Fail/Profile: <u>PASS</u> Date: <u>20181109</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)
<b>c. INTELLECT:</b> (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)
<b>d. LEADS:</b> (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)
<b>e. DEVELOPS:</b> (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)
<b>f. ACHIEVES:</b> (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)
<b>PART VI - SENIOR RATER COMMENTS</b>	
(See DA Pam 623-3, para 3-1)	

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 noncommissioned officer evaluation reports**

*a. Purpose.* DA Form 2166–9 series NCOERs 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. DA Form 2166–9 series consists of the following:

- (1) DA Form 2166–9–1 NCO Evaluation Report (SGT) for 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 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#:									
<b>NCO EVALUATION REPORT (SGT)</b> For use of this form, see AR 623-3; the proponent agency is DCS, G-1.						<b>SEE PRIVACY ACT STATEMENT IN AR 623-3</b>			
<b>PART I - ADMINISTRATIVE DATA</b>									
a. NAME (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>			b. SSN (or DOD ID No.) <b>1111111111</b>		c. RANK <b>SGT</b>	d. DATE OF RANK <b>20180101</b>	e. PMOSC <b>12B20</b>		
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND <b>510th CC, 20th Engineer Battalion, Fort Hood, TX 76544 FORSCOM</b>			g. STATUS CODE <b>WBCDAD</b>		h. UIC <b>02   Annual</b>	i. REASON FOR SUBMISSION			
j. PERIOD COVERED FROM <b>YEAR MONTH DAY</b> <b>20180101</b>		k. RATED MONTHS <b>12</b>	l. NONRATED CODES	m. NO OF ENCLOSURES <b>0</b>	n. RATED NCO'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>				
<b>PART II - AUTHENTICATION</b>									
a1. NAME OF RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>			a2. SSN (or DOD ID No.) <b>2222222222</b>		a3. RATER'S SIGNATURE	a4. DATE (YYYYMMDD)			
a5. RANK <b>SSG</b>			ORGANIZATION <b>91B30 510th CC, 20th Engineer Battalion</b>		DUTY ASSIGNMENT <b>Section Sergeant</b>	a6. RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>			
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>			b2. SSN (or DOD ID No.) <b>3333333333</b>		b3. SENIOR RATER'S SIGNATURE	b4. DATE (YYYYMMDD)			
b5. RANK <b>SFC</b>			ORGANIZATION <b>12B40 510th CC, 20th Engineer Battalion</b>		DUTY ASSIGNMENT <b>Platoon Sergeant</b>	b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>			
c1. SUPPLEMENTARY REVIEW REQUIRED? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>		c3. RANK <b>CPT</b>	PMOSC/BRANCH <b>EN</b>	ORGANIZATION <b>510th CC, 20th Engineer Battalion</b>	DUTY ASSIGNMENT <b>Company Commander</b>		
c4. COMMENTS ENCLOSED? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		c5. SUPPLEMENTARY REVIEWER'S SIGNATURE		c6. DATE (YYYYMMDD) <b>20180113</b>		c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>			
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 <b>20180113</b>	LATER <b>20180421</b>	LATER <b>20180722</b>	LATER <b>20181017</b>	d2. RATED NCO'S SIGNATURE		d3. DATE (YYYYMMDD)		
<b>PART III - DUTY DESCRIPTION (Rater)</b>									
a. PRINCIPAL DUTY TITLE <b>Team Leader</b>					b. DUTY MOSC <b>12B20</b>				
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)									
<b>PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>									
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.)		COMMENTS:  (See DA Pam 623-3, para 3-6)							
MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>								
<b>DA FORM 2166-9-1, NOV 2015</b>					PREVIOUS EDITIONS ARE OBSOLETE.				
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Figure 3-2. Example of DA Form 2166-9-1 (page 1)

RATED NCO'S NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL		SSN (or DOD ID No.) 1111111111	THRU DATE 20181231
<b>PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>			
d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience.)		COMMENTS: <b>(See DA Pam 623-3, para 3-6)</b>	
MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
e. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, Expertise.)		COMMENTS: <b>(See DA Pam 623-3, para 3-6)</b>	
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: <b>(See DA Pam 623-3, para 3-6)</b>	
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: <b>(See DA Pam 623-3, para 3-6)</b>	
MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
h. ACHIEVES: (Gets results.)		COMMENTS: <b>(See DA Pam 623-3, para 3-6)</b>	
MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
<b>RATER OVERALL PERFORMANCE</b>			
i. I currently rate _____ NCOs in this grade. COMMENTS: <b>(See DA Pam 623-3, para 3-6)</b>			
<b>PART V - SENIOR RATER OVERALL POTENTIAL</b>			
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.	b. COMMENTS: <b>(See DA Pam 623-3, para 3-7)</b>		
<input type="checkbox"/> MOST QUALIFIED <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) DA FORM 2166-9-1, NOV 2015	2)	Broadening Assignment:	Page 2 of 2 APD LC v1.00ES

Figure 3–2. Example of DA Form 2166–9–1—Continued (page 2)

HQDAE:

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) <b>LAST, FIRST, MIDDLE INITIAL</b>		b. SSN (or DOD ID No.) <b>1111111111</b>		c. RANK <b>MSG</b>		d. DATE OF RANK <b>20180201</b>	
e. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND <b>HHC, SPT BN, 13th COSCOM, Ft. Hood, TX, 76544, III Corps</b>				g. STATUS CODE <b>WASH26</b>		e. PMOSC <b>92Y52SG10</b>	
j. PERIOD COVERED FROM <b>YEAR MONTH DAY</b> <b>20180101</b>		k. RATED MONTHS <b>THRU</b> <b>20181231</b>		l. NONRATED CODES <b>12</b>		m. NO OF ENCLOSURES <b>0</b>	
n. RATED NCO'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>							
PART II - AUTHENTICATION							
a1. NAME OF RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>			a2. SSN (or DOD ID No.) <b>5555555555</b>		a3. RATER'S SIGNATURE		a4. DATE (YYYYMMDD)
a5. RANK <b>LTC</b>			ORGANIZATION <b>Army Contracting Agency</b>		DUTY ASSIGNMENT <b>Battalion Commander</b>		a6. RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>			b2. SSN (or DOD ID No.) <b>6666666666</b>		b3. SENIOR RATER'S SIGNATURE		b4. DATE (YYYYMMDD)
b5. RANK <b>COL</b>			ORGANIZATION <b>Army Contracting Agency</b>		DUTY ASSIGNMENT <b>Brigade Commander</b>		b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>
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 <b>20180118</b>	LATER <b>20180408</b>	LATER <b>20180728</b>	LATER <b>20181010</b>	d2. RATED NCO'S SIGNATURE		d3. DATE (YYYYMMDD)
PART III - DUTY DESCRIPTION (Rater)							
a. PRINCIPAL DUTY TITLE <b>Contracting Command NCOIC</b>				b. DUTY MOSC <b>92Y50GI</b>			
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.)		COMMENTS:  (See DA Pam 623-3, para 3-11)					
MET STANDARD <input type="checkbox"/>		DID NOT MEET STANDARD <input type="checkbox"/>					

**Figure 3–3. Example of DA Form 2166–9–2 (page 1)**

RATED NCO'S NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL				SSN (or DOD ID No.) 1111111111	THRU DATE 20181231
<b>PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>					
d. <b>PRESENCE:</b> (Military and professional bearing, Fitness, Confidence, Resilience)				COMMENTS: <b>(See DA Pam 623-3, para 3-11)</b>	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
e. <b>INTELLECT:</b> (Mental agility, Sound judgement, Innovation, Interpersonal tact, Expertise)				COMMENTS: <b>(See DA Pam 623-3, para 3-11)</b>	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
f. <b>LEADS:</b> (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)				COMMENTS: <b>(See DA Pam 623-3, para 3-11)</b>	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
g. <b>DEVELOPS:</b> (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)				COMMENTS: <b>(See DA Pam 623-3, para 3-11)</b>	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
h. <b>ACHIEVES:</b> (Gets results)				COMMENTS: <b>(See DA Pam 623-3, para 3-11)</b>	
FAR EXCEEDED STANDARD <input type="checkbox"/>	EXCEEDED STANDARD <input type="checkbox"/>	MET STANDARD <input type="checkbox"/>	DID NOT MEET STANDARD <input type="checkbox"/>		
<b>RATER OVERALL PERFORMANCE</b>					
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: <b>(See DA Pam 623-3, para 3-11)</b>					
<b>PART V - SENIOR RATER OVERALL POTENTIAL</b>					
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. <input type="checkbox"/>	b. COMMENTS: <b>(See DA Pam 623-3, para 3-12)</b>				
<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) <b>2)</b> Broadening Assignment:					

Figure 3-3. Example of DA Form 2166-9-2-Continued (page 2)

HQDAW:					
<b>NCO EVALUATION REPORT (CSM/SGM)</b> For use of this form, see AR 623-3; the proponent agency is DCS, G-1.					<b>SEE PRIVACY ACT STATEMENT IN AR 623-3</b>
<b>PART I - ADMINISTRATIVE DATA</b>					
a. NAME (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>		b. SSN (or DOD ID No.) <b>1111111111</b>	c. RANK <b>CSM</b>	d. DATE OF RANK <b>20161223</b>	e. PMOSC <b>31B6M6C</b>
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND <b>92nd Military Police Battalion, Fort Leonard Wood, MO 65473 FORSCOM</b>		g. STATUS CODE <b>WBW5AA</b>	h. UIC <b>03   Change of Rater</b>	i. REASON FOR SUBMISSION	
j. PERIOD COVERED FROM <b>YEAR MONTH DAY</b> <b>20180101</b>		k. RATED MONTHS <b>4</b>	l. NONRATED CODES <b>0</b>	m. NO OF ENCLOSURES <b>.gov or .mil email address</b>	
<b>PART II - AUTHENTICATION</b>					
a1. NAME OF RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>		a2. SSN (or DOD ID No.) <b>2222222222</b>	a3. RATER'S SIGNATURE	a4. DATE (YYYYMMDD)	
a5. RANK <b>LTC</b> PMOSC/BRANCH <b>MP</b>		ORGANIZATION <b>92nd Military Police Battalion</b>	DUTY ASSIGNMENT <b>Battalion Commander</b>	a6. RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial) <b>LAST, FIRST, MIDDLE INITIAL</b>		b2. SSN (or DOD ID No.) <b>3333333333</b>	b3. SENIOR RATER'S SIGNATURE	b4. DATE (YYYYMMDD)	
b5. RANK <b>COL</b> CM		ORGANIZATION <b>4th Maneuver Enhancement Brigade</b>	DUTY ASSIGNMENT <b>Brigade Commander</b>	b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil) <b>.gov or .mil email address</b>	
<p>c1. SUPPLEMENTARY REVIEW REQUIRED?  <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p> <p>c4. COMMENTS ENCLOSED?  <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>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.</p>					
d1. COUNSELING DATES	INITIAL <b>20180112</b>	LATER <b>20180405</b>	LATER	LATER	d2. RATED NCO'S SIGNATURE <b>31B6O6C</b> d3. DATE (YYYYMMDD)
<b>PART III - DUTY DESCRIPTION (Rater)</b>					
a. PRINCIPAL DUTY TITLE <b>Command Sergeant Major</b>		b. DUTY MOSC <b>31B6O6C</b>			
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars) <b>(See DA Pam 623-3, para 3-15)</b>					
d. AREAS OF SPECIAL EMPHASIS <b>(See DA Pam 623-3, para 3-15)</b>					
e. APPOINTED DUTIES <b>(See DA Pam 623-3, para 3-15)</b>					
<b>PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>					
a. APFT Pass/Fail/Profile:		Date: <b> </b>	b. Height: <b> </b>	Weight: <b> </b>	Within Standard? <b> </b>
(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.) <b>(See DA Pam 623-3, para 3-16)</b>					
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: <b>(See DA Pam 623-3, para 3-16)</b>			
DA FORM 2166-9-3, NOV 2015			PREVIOUS EDITIONS ARE OBSOLETE.		
Page 1 of 2 APD LC v1.00ES					

Figure 3-4. Example of DA Form 2166-9-3 (page 1)

RATED NCO'S NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL		SSN (or DOD ID No.) 1111111111	THRU DATE 20180429				
<b>PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)</b>							
<p>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.</p>							
<p>d. COMMENTS: <b>See DA Pam 623-3, para 3-16</b></p>							
<b>RATER OVERALL PERFORMANCE</b>							
<p>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.</p> <table style="margin-left: auto; margin-right: auto;"> <tr> <td><input type="checkbox"/> FAR EXCEEDED STANDARD</td> <td><input type="checkbox"/> EXCEEDED STANDARD</td> <td><input type="checkbox"/> MET STANDARD</td> <td><input type="checkbox"/> DID NOT MEET STANDARD</td> </tr> </table>				<input type="checkbox"/> FAR EXCEEDED STANDARD	<input type="checkbox"/> EXCEEDED STANDARD	<input type="checkbox"/> MET STANDARD	<input type="checkbox"/> DID NOT MEET STANDARD
<input type="checkbox"/> FAR EXCEEDED STANDARD	<input type="checkbox"/> EXCEEDED STANDARD	<input type="checkbox"/> MET STANDARD	<input type="checkbox"/> DID NOT MEET STANDARD				
<p>f. COMMENTS: <b>See DA Pam 623-3, para 3-16</b></p>							
<b>PART V - SENIOR RATER OVERALL POTENTIAL</b>							
<p>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.</p> <table style="margin-left: auto; margin-right: auto;"> <tr> <td><input type="checkbox"/> MOST QUALIFIED (limited to 24%)</td> </tr> <tr> <td><input type="checkbox"/> HIGHLY QUALIFIED</td> </tr> <tr> <td><input type="checkbox"/> QUALIFIED</td> </tr> <tr> <td><input type="checkbox"/> NOT QUALIFIED</td> </tr> </table>	<input type="checkbox"/> MOST QUALIFIED (limited to 24%)	<input type="checkbox"/> HIGHLY QUALIFIED	<input type="checkbox"/> QUALIFIED	<input type="checkbox"/> NOT QUALIFIED	<p>b. COMMENTS: <b>(See DA Pam 623-3, para 3-17)</b></p>		
<input type="checkbox"/> MOST QUALIFIED (limited to 24%)							
<input type="checkbox"/> HIGHLY QUALIFIED							
<input type="checkbox"/> QUALIFIED							
<input type="checkbox"/> NOT QUALIFIED							
<p>c. List two successive assignments and one broadening assignment (3-5 years).</p> <p>Successive Assignment: 1) _____ 2) _____</p>				<p>Broadening Assignment:</p>			

Figure 3-4. Example of DA Form 2166-9-3—Continued (page 2)

### **Section III**

#### **DA Form 2166–9–1**

##### **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.

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**Table 3–1**  
**Administrative data for DA Form 2166–9–1**

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**DA Form 2166–9–1, part I: block a—Name**

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

**Reference:** None

**DA Form 2166–9–1, part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated NCO's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123–45–6789) may be used.

**Reference:** None

**DA Form 2166–9–1, part I: block c—Rank**

**Action required:** Enter the rated NCO's 3-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.
- For ARNG NCOs, promotions and 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 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—Primary military occupational specialty code (PMOSC)**

**Action required:** Enter up to nine digits of the primary military occupational specialty (PMOS) (for example, 19E30, 42A5MA3, and 18Z5PW9LA). If an NCO does not possess an ASI or language identifier, only a 5-digit military occupational specialty (MOS) is entered. An alphabetic 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, organization, 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.

- USAR must include the appropriate major USAR command 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.
- 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.

**Reference:** None

**DA Form 2166–9–1, part I: block g—Status code**

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**Table 3–1**  
**Administrative data for DA Form 2166–9–1—Continued**

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**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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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

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**DA Form 2166–9–1, part I: block h—UIC**

**Action required:** Enter the rated NCO's UIC. If incorrect when automatically populated by using the wizard application within the electronic form within the EES, it can be manually corrected.

**Reference:** None

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**DA Form 2166–9–1, part I: block i—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

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**DA Form 2166–9–1, 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 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

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**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).

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**Table 3–1**  
**Administrative data for DA Form 2166–9–1—Continued**

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**Reference:** None

**DA Form 2166–9–1, part I:** block l—Nonrated codes

**Reference:** 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—

- 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

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### **3–4. Part II, Authentication**

Part II of DA Form 2166–9–1 is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. Table 3–2 details instructions for completing part II. 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.

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**Table 3–2**  
**Authentication for DA Form 2166–9–1**

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**DA Form 2166–9–1, part II** blocks a1 through a6—Rater’s information

**Action required:** Enter the rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official “.gov” or “.mil” email address.

- Raters possessing a DOD-issued CAC will provide their unique 10-digit DOD ID number located on the reverse side of the CAC. For raters who do not possess an issued DOD ID number, enter their SSN.
- 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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 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, USN, USAF, USMC, and USCG) in the PMOSC or 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 or branch block. Civil service raters will enter the pay grade (GM, GG, GS, or UA number) 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 who are not in any category above, enter appropriate grade level.
- For DA Civilians, only enter “DACP” as PMOSC or branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC or 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). If the allied forces rater does not

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**Table 3–2**  
**Authentication for DA Form 2166–9–1—Continued**

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possess a DOD ID number, the 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 officer's complete name, rank (to include NATO equivalent), allied force rater's country, duration of report period covered, contact information to include a valid email address (see fig 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.

— An issued international identification number is not associated with the ability to access to EES; it is specific to rater tendency requirements. 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

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**DA Form 2166–9–1, part II:** blocks b1 through b6—Senior rater's information

**Action required:** Enter the senior rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official ".gov" or ".mil" email address.

— Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.

— For senior raters who do not possess an issued DOD ID number, enter their SSN.  
— 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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, USN, USAF, USMC, and 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, or UA number) 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 who are not in any category above, enter appropriate grade level.  
— For DA Civilians, only enter "DAC" as PMOSC or branch; for civilians of other Services within DOD, enter "CIV" as the PMOSC or branch.  
— The senior rater's signature and date are required on the completed DA Form 2166–9–1.  
— The senior rater will sign the NCOER even if he or she is unable to evaluate the rated NCO due to lack of qualification.

— 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. 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

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**DA Form 2166–9–1, part II:** blocks c1 through c7—Supplementary reviewer's information

**Action required:** A documented supplementary review will be performed by a uniformed Army advisor in the rank of SGM or 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 NCO's rating chain is an NCO in the rank of sergeant first class (SFC) through master sergeant (MSG) or 1SG.  
(2) When a senior rater within the rated NCO's rating chain is a warrant officer in the rank of WO1 through CW2.  
(3) When a senior rater within the rated NCO's rating chain is an Army officer in the rank of 2LT through 1LT.  
(4) When there are no uniformed Army designated rating officials for the rated NCO.  
(5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of SGT through MSG or 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.

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**Table 3–2**  
**Authentication for DA Form 2166–9–1—Continued**

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- (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 above, CSMs serving at the United States Army Sergeants Major Academy (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 (table of distribution and allowances (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, and suffix) in capital letters, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, signature, validation date, and 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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.
  - Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
  - 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

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**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

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**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 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” or “Soldier refused to sign”).

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**Table 3–2**  
**Authentication for DA Form 2166–9–1—Continued**

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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

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### **3–5. Part III, Duty description**

Part III of DA Form 2166–9–1 provides for the duty description of the rated NCO. Table 3–3 details instructions for completing part III. 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**

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**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

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**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 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

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**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 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

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**DA Form 2166–9–1, part III: block d—Areas of Special Emphasis**

**Action required:** Enter areas of special emphasis or appointed duties as a list of tasks or duties, separated by semicolons or commas, 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

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**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, separated by semicolons or commas, and ending with a period.

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**Table 3–3**  
**Duty description for DA Form 2166–9–1—Continued**

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*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

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### **3–6. Part IV, Performance evaluation, professionalism, attributes, and competencies**

Part IV of DA Form 2166–9–1 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 NCO's 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 NCO's 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 or her charge; exhibits or 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 or 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, and 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 attributes 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 pushups, situps, 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 within the comment section provided. Bullet comments for “FAIL” entries may include the reasons for failure 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, or convalescent leave, the rater will enter the following statement within the comments section: “Exempt from APFT requirement in accordance with AR 40–501.” 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 3-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.
- 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.” When using the wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.

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**Table 3-4****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166-9-1—Continued**

- 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 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 applies 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)

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**DA Form 2166-9-1, part IV: block c—Character**

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 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 promoting the personal and professional development of subordinates, ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, blocks d through h (if required).

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

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

For NCOs who are found with substantiated SHARP, equal opportunity, 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, equal opportunity, 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.

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, “a 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).

- a. *Loyalty*: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. *Duty*: fulfills obligations (professional, legal, and moral).
- c. *Respect*: treats people as they should be treated.
- d. *Selfless Service*: puts the welfare of the Nation, the Army, and subordinates’ priorities before self.
- e. *Honor*: adheres to the Army’s publicly declared code of values.
- f. *Integrity*: does what is right, legally and morally.
- g. *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.

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**Table 3-4****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166-9-1—Continued**

**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

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**DA Form 2166-9-1, part IV: block d—Presence**

*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:** Standardized rules for bullet comments (see para 3-6), ADRP 6-22, and ADP 6-22

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**DA Form 2166-9-1, part IV: block e—Intellect**

*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 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

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**DA Form 2166-9-1, part IV: block f—Leads**

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

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**Table 3-4****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166-9-1—Continued**

**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 BN 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.

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**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

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 and supported a healthy workplace environment conducive to the growth and development of personnel when completing the NCOER.

— Rating officials may provide additional comments, if needed, evaluating the rated NCO adherence to requirements of SHARP.

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**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:**

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.

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**Table 3-4****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–1—Continued**

- 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.

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**DA Form 2166–9–1, part IV: block i—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 that 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 section 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 include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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

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**3–7. Part V, Senior rater overall potential**

a. Part V of DA Form 2166–9–1 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 acronyms (see AR 25–30) may be used in comments. However, other abbreviations, brevity codes, and acronyms must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the abbreviation, brevity code, and acronym may be used alone. The use of abbreviations, brevity codes, and acronyms will be limited for clarity of content (see AR 623–3 for additional information).

d. Senior raters who meet minimum qualification criteria established in AR 623–3 will complete part V.

e. Policy pertaining to the use of "P" designation for SGTs concerning profiling do not apply. Promutable sergeants (SGTP) will be prepared on DA Form 2166–9–1 and will not be included in a senior rater's staff sergeants (SSG) profile.

f. 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.

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**Table 3–5****Senior rater for DA Form 2166–9–1**

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**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

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**Table 3–5**  
**Senior rater for DA Form 2166–9–1—Continued**

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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 b—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, 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.

— 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 part 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 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 I include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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 NCO's 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. 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

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## Section IV

### DA Form 2166-9-2

#### 3-8. Part I, Administrative data

Part I of DA Form 2166-9-2 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 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.

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**Table 3-6**  
**Administrative data for DA Form 2166-9-2**

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**DA Form 2166-9-2, part I: block a—Name**

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

**Reference:** None

**DA Form 2166-9-2, part I: part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated NCO's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123-45-6789) may be used.

**Reference:** None

**DA Form 2166-9-2, part I: block c—Rank**

**Action required:** Enter the rated NCO's 3-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 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 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 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 5-digit MOS is entered. An alphabetic 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 (see DA Pam 611-21 for additional information).

**Reference:** None

**DA Form 2166-9-2, part I: block f—Unit, organization, station, ZIP Code or APO, major command**

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**Table 3–6**  
**Administrative data for DA Form 2166–9–2—Continued**

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**Action required:** Enter the rated NCO's unit, organization, station, ZIP Code or APO, and major command in the order listed on the NCOER. USAR must include the appropriate major USAR command 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:

- IRR—Individual Ready Reserve (or IRR-MOB for mobilized IRR Soldier).
- IMA—individual mobilization augmentee (or IMA-MOB for mobilized IMA Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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 UIC. If incorrect when automatically populated by using the wizard application within the electronic form within the EES, it can be manually corrected.

**Reference:** None

**DA Form 2166–9–2, part I: block i—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 j—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 RA 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

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**Table 3–6**  
**Administrative data for DA Form 2166–9–2—Continued**

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**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

**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

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### **3–9. Part II, Authentication**

Part II of DA Form 2166–9–2 is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. Table 3–7 details instructions for completing part II. 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.

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**Table 3–7**  
**Authentication for DA Form 2166–9–2**

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**DA Form 2166–9–2, part II:** blocks a1 through a6—Rater’s information

**Action required:** Enter the rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official “.gov” or “.mil” email address.

- Raters possessing a DOD-issued CAC will provide their unique 10-digit DOD ID 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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 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,” or U.S. Coast Guard “USCG”) in the PMOSC or 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, or UA number) 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 who are not in any category above, enter appropriate grade level.
- For DA Civilians, only enter “DAC” as PMOSC or branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC or branch.

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**Table 3–7**  
**Authentication for DA Form 2166–9–2—Continued**

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- 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), (GBR), and so forth). If the allied forces rater does not possess a DOD ID number, the 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 officer's complete name, rank (to include NATO equivalent), allied force rater's country, duration of report period covered, contact information to include a valid email address (see fig 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.
- An issued international identification number is not associated with the ability to access to EES; it is specific to rater tendency requirements. 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

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**DA Form 2166–9–2, part II:** blocks b1 through b6—Senior rater's information

**Action required:** Enter the senior rater's information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official ".gov" or ".mil" email address.

- Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.
- For senior raters who do not possess an issued DOD ID number, enter their SSN.
- 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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, USN, USAF, USMC, and USCG) in the PMOSC or 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, or UA number) 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 who are not in any category above, enter appropriate grade level.
- For DA Civilians, only enter "DAC" as PMOSC or branch; for civilians of other Services within DOD, enter "CIV" as the PMOSC or branch.
- The senior rater's signature and date are required on the completed DA Form 2166–9–2.
- The senior rater will sign the NCOER even if he or she is unable to evaluate the rated NCO due to lack of qualification.

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. 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

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**DA Form 2166–9–2, part II:** blocks c1 through c7—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 NCO's rating chain is an NCO in the rank of MSG/1SG.
- (2) When a senior rater within the rated NCO's rating chain is a warrant officer in the rank of WO1 through CW2.
- (3) When a senior rater within the rated NCO's rating chain is an Army Officer in the rank of 2LT through 1LT.
- (4) When there are no uniformed Army designated rating officials for the rated NCO.
- (5) When the senior rater is not a uniformed Army designated rating official and the rater is in the rank of 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.

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**Table 3–7**  
**Authentication for DA Form 2166–9–2—Continued**

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- (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, and suffix) in capital letters, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, signature, validation date, and 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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.
- Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
- 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

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**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

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**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 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” or “Soldier refused to sign”).

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**Table 3–7**  
**Authentication for DA Form 2166–9–2—Continued**

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*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

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### **3–10. Part III, Duty description**

Part III of DA Form 2166–9–2 provides for the duty description of the rated NCO. Table 3–8 details instructions for completing part III. 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.
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**Table 3–8**  
**Duty description for DA Form 2166–9–2**

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**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

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**DA Form 2166–9–2, part III:** block b—Duty MOSC

**Action required:** Enter duty MOSC (at least five characters but no more than nine). If ASI 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

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**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.

*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

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**DA Form 2166–9–2, part III:** block d—Areas of special emphasis

**Action required:** Enter areas of special emphasis or appointed duties as a list of tasks or duties, separated by semicolons or commas, 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

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**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 separated by semicolons or commas, and ending with a 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

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### **3–11. Part IV, Performance evaluation, professionalism, attributes, and competencies**

Part IV of DA Form 2166–9–2 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 NCO’s 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 NCO’s 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 or her charge; exhibits or 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 or 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 or 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 or 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, and 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 attributes 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 pushups, situps, 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 within the comment section provided. Bullet comments for “FAIL” entries may include the reasons for failure 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, or convalescent leave, the rater will enter the following statement within the comments section: “Exempt from APFT requirement in accordance with AR 40–501.” 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 3-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.
- 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

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**Table 3-9****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166-9-2—Continued**

"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." 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 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 applies 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**

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 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 promoting the personal and professional development of subordinates, ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, blocks d through h (if required).

Ratees will comment on any substantiated finding in an Army or DOD investigation or inquiry that the rated NCO—

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

For NCOs who are found with substantiated SHARP, equal opportunity, 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, equal opportunity, 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.

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, "a 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).

- a. *Loyalty*: Bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. *Duty*: fulfills obligations (professional, legal, and moral).
- c. *Respect*: treats people as they should be treated.
- d. *Selfless Service*: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. *Honor*: adheres to the Army's publicly declared code of values.
- f. *Integrity*: does what is right, legally and morally.
- g. *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.

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**Table 3–9**  
**Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–2—Continued**

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*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.

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**DA Form 2166–9–2, part IV:** block d—Presence

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:** Standardized rules for bullet comments (see para 3–11), ADRP 6–22, and ADP 6–22.

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**DA Form 2166–9–2, part IV:** block e—Intellect

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 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.

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**Table 3–9**  
**Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–2—Continued**

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**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

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

— 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 BN 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

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 and supported a healthy workplace environment conducive to the growth and development of personnel when completing the NCOER.

— Rating officials may provide additional comments (if needed) evaluating the rated NCO adherence to requirements of SHARP.

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**Table 3–9**  
**Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–2—Continued**

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**Reference:** Standardized rules for bullet comments (see para 3–11), ADRP 6–22, and ADP 6–22.

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**DA Form 2166–9–2, part IV:** block h—Achieves

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:** Standardized rules for bullet comments (see para 3–11), ADRP 6–22, and ADP 6–22.

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**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 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 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 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 include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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

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### **3–12. Part V, Senior rater overall potential**

*a.* Part V of DA Form 2166–9–2 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 next higher rank on the senior rater's profile. 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.* 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.

*f.* 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 acronyms (see AR 25–30) may be used in comments. However, other abbreviations, brevity codes, and acronyms must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the abbreviation, brevity code, and acronym may be used alone. The use of abbreviations, brevity codes, and acronyms will be limited for clarity of content (see AR 623–3 for additional information).

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**Table 3–10**  
**Senior rater for DA Form 2166–9–2**

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**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.

— 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.

— 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

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**DA Form 2166–9–2, part V: block b—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.

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**Table 3–10**  
**Senior rater for DA Form 2166–9–2—Continued**

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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, 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 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.
- 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 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, he or she will complete part IV, blocks a through c and part IV, block j 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 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 j include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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 NCO's 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

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**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.

- 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

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## Section V

### DA Form 2166–9–3

#### 3–13. Part I, Administrative data

Part I of DA Form 2166–9–3 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.

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**Table 3–11**  
**Administrative data for DA Form 2166–9–3**

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**DA Form 2166–9–3, part I:** block a—Name

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

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**Table 3-11**  
**Administrative data for DA Form 2166-9-3—Continued**

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**Reference:** None

**DA Form 2166-9-3, part I: part I: block b—SSN (or DOD ID number)**

**Action required:** Enter the rated NCO's 10-digit DOD ID number located on the reverse side of the CAC. As an alternative to providing the DOD ID number, the full 9-digit SSN (for example, 123-45-6789) may be used.

**Reference:** None

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**DA Form 2166-9-3, part I: block c—Rank**

**Action required:** Enter the rated NCO's 3-letter rank abbreviation, not pay grade (for example, "SGM") as of the "THRU" date.

- If the rated NCO is a MSG or 1SG selected for promotion 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 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

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**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

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**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 5-digit MOS is entered. An alphabetic or numeric entry may be used to denote the last digit of the skill level ("O" or "0"). Professional development proficiency code is awarded to SGM/CSM. The SGM Branch, HRC manages the professional development proficiency code (see DA Pam 611-21 for additional information).

**Reference:** None

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**DA Form 2166-9-3, part I: block f—Unit, organization, 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. USAR must include the appropriate Major USAR command 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

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**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 Soldier).
- DIMA—drilling individual mobilization augmentee (or DIMAMOB for mobilized DIMA Soldier).
- 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.

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**Table 3-11**  
**Administrative data for DA Form 2166-9-3—Continued**

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**Reference:** None

**DA Form 2166-9-3, part I: block h—UIC**

**Action required:** Enter the rated NCO's UIC. If incorrect when automatically populated by using the wizard application within the electronic form within the EES, it can be manually corrected.

**Reference:** None

**DA Form 2166-9-3, part I: block i—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 j—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.

NCOERs will be rendered for RA 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

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### **3–14. Part II, Authentication**

Part II of DA Form 2166–9–3 is for authentication by the rated NCO and rating officials after the NCOER has been completed at the end of the rating period. Table 3–12 details instructions for completing part II. 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.

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**Table 3–12**  
**Authentication for DA Form 2166–9–3**

**DA Form 2166–9–3, part II:** blocks a1 through a6—Rater’s information

**Action required:** Enter the rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official “.gov” or “.mil” email address.

- Raters possessing a DOD-issued CAC will provide their unique 10-digit DOD ID 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter “GO.” The 2-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 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,” or U.S. Coast Guard “USCG”) in the PMOSC or 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, or UA number) 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 who are not in any category above, enter appropriate grade level.
- For DA Civilians, only enter “DAC” as PMOSC or branch; for civilians of other Services within DOD, enter “CIV” as the PMOSC or 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).
- If the allied forces rater does not possess a DOD ID number, the 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 officer’s complete name, rank (to include NATO equivalent), allied force rater’s country, duration of report period covered, contact information to include a valid email address (see fig 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.
- An issued international identification number is not associated with the ability to access to EES; it is specific to rater tendency requirements. 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 II:** blocks b1 through b6—Senior rater’s information

**Action required:** Enter the senior rater’s information: name (last, first, MI, and suffix) in capital letters, 10-digit DOD ID number (1234567890), or SSN (for example, 123–45–6789), signature, validation date, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, and official “.gov” or “.mil” email address.

- Senior raters possessing a DOD-issued CAC provide their unique 10-digit DOD ID number located on the reverse side of the CAC.
- For senior raters who do not possess an issued DOD ID number, enter their SSN.
- 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.

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**Table 3-12**  
**Authentication for DA Form 2166-9-3—Continued**

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- For branch, officers enter the 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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, USN, USAF, USMC, and USCG) in the PMOSC or 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, or UA number) 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 who are not in any category above, enter appropriate grade level.
- For DA Civilians, only enter "DAC" as PMOSC or branch; for civilians of other Services within DOD, enter "ClV" as the PMOSC or branch.
- The senior rater will sign the NCOER even if they are unable to evaluate the rated NCO due to lack of qualification.
- 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.
- 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

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**DA Form 2166-9-3, part II: blocks c1 through c7—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 NCO's rating chain is a warrant officer in the rank of WO1 through CW2.
  - (2) When a senior rater within the rated NCO's 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.
  - (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, and suffix) in capital letters, rank, PMOSC (warrant officer or NCO) or branch (commissioned officer), organization, duty assignment, signature, validation date, and 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 2-character basic branch abbreviation or Voluntary Transfer Incentive Program or career field designation. For general officers, enter "GO." The 2-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.

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**Table 3-12**  
**Authentication for DA Form 2166-9-3—Continued**

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- When required, the supplementary reviewer's signature and date will be annotated on the completed NCOER.
- Supplementary reviews are conducted after rating officials and the rated Soldier have signed the completed evaluation.
- 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

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**DA Form 2166-9-3, 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

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**DA Form 2166-9-3, 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 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" 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

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### **3-15. Part III, Duty description**

Part III of DA Form 2166-9-3 provides for the duty description of the rated NCO. Table 3-13 details instructions for completing part III. 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.

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**Table 3-13**  
**Duty description for DA Form 2166-9-3**

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**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

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**DA Form 2166-9-3, part III:** block b—Duty MOSC

**Action required:** Enter duty MOSC (at least five characters but no more than nine). If ASI 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

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**Table 3-13**  
**Duty description for DA Form 2166-9-3—Continued**

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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

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**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.

*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

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**DA Form 2166-9-3, part III: block d—Areas of special emphasis**

**Action required:** Enter areas of special emphasis or appointed duties as a list of tasks or duties, separated by semicolons or commas, 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

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**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, separated by semicolons or commas, and ending with a 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

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**3-16. Part IV, Performance evaluation, professionalism, attributes, and competencies**

Part IV of DA Form 2166-9-3 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 NCO's 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 NCO's 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 or 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 acronyms (see AR 25-30) may be used in comments. However, other abbreviations, brevity codes, and acronyms must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the abbreviation, brevity code, and acronym may be used alone. The use of abbreviations, brevity codes, and acronyms will be limited for clarity of content (see AR 623-3 for additional information). Narrative comments will support the box checks by rating officials (see table 3-14 for DA Form 2166-9-3 NCOER attributes and competencies instructions).

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**Table 3-14**  
**Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166-9-3**

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**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 pushups, situps, 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 within the comment section provided. Bullet comments for "FAIL" entries may include the reasons for failure 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, or convalescent leave, the rater will enter the following statement within the comments section: "Exempt from APFT requirement in accordance with AR 40-501." When using the wizard application associated with the electronic form within the EES, the APFT and height and weight statement will be combined.

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**Table 3–14****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–3—Continued**

- In accordance with AR 350–1, NCOs 55 years of age and older have the option of taking the 3-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.
- 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.” 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 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 applies 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**

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 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 promoting the personal and professional development of subordinates, ensuring the fair, respectful treatment of unit personnel; and establishing a workplace and overall command climate that fosters dignity and respect for all members of the unit. 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. Additional comments may be explained and entered in part IV, block d (if required).

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**Table 3–14****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–3—Continued**

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

- a. Committed an act of sexual harassment or sexual assault;
- b. Failed to report a sexual harassment or sexual assault;
- c. Failed to respond to a complaint or report of sexual harassment or sexual assault; or
- d. Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

For NCOs who are found with substantiated SHARP, equal opportunity, 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 comment “does not support SHARP, equal opportunity, and EEO” will be annotated by the rater in part IV block c comments section. Additionally, the senior rater will comment in part V, block b.

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, “a 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).

- a. *Loyalty*: bears true faith and allegiance to the U.S. Constitution, the Army, the unit, and other Soldiers.
- b. *Duty*: fulfills obligations (professional, legal, and moral).
- c. *Respect*: treats people as they should be treated.
- d. *Selfless Service*: puts the welfare of the Nation, the Army, and subordinates' priorities before self.
- e. *Honor*: adheres to the Army's publicly declared code of values.
- f. *Integrity*: does what is right, legally and morally.
- g. *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

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**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 and 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*—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.

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**Table 3–14****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–3—Continued**

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*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 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.

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**Table 3–14****Part IV—Performance evaluation, professionalism, attributes, and competencies DA Form 2166–9–3—Continued**

*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 and ADP 6–22

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**DA Form 2166–9–3, part IV: block e—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 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 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 include "Serving as rater and senior rater in accordance with AR 623–3, paragraph 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

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**3–17. Part V, Senior rater overall potential**

*a.* Part V of DA Form 2166–9–3 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 a lateral promotion as applicable within the grade or a position of increased responsibilities for the grade when compared with other NCOs of the same grade. 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 next higher rank on the senior rater's profile. 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. 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.

f. 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 acronyms (see AR 25–30) may be used in comments. However, other abbreviations, brevity codes, and acronyms must be spelled out the first time with the shortened form indicated within parentheses; thereafter, the abbreviation, brevity code, and acronym may be used alone. The use of abbreviations, brevity codes, and acronyms will be limited for clarity of content (see AR 623–3 for additional information).

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**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.
- 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.
- 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 b—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.

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**Table 3-15**  
**Senior rater for DA Form 2166-9-3—Continued**

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- 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, 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.
- 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 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, he or she will complete part IV, blocks a through c and part IV, block f 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 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 include “Serving as rater and senior rater in accordance with AR 623-3, paragraph 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 NCO’s 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

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**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.

— 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

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## 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 EES 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 NCO's 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 EES 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 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 second 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 fourth 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 or 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 and indicate they directed the 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.

(2) For raters of NCOs on DA Form 2166–9–2, entry will be in part IV, block j.

(3) For raters on NCOs on DA Form 2166–9–3, entry will be in part IV, block f.

*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.

*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 to the NCOER (not to exceed one page, see AR 623–3 for a sample memorandum of “Relief for Cause” directed by a non-rating 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 3–20*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 Individual Reservist 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 fig 2–9 for a sample supplementary review for “Relief for Cause” memorandum).

*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 any time 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 (see 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 3–21b and 3–21c. 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 (see app B for address).

### **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 and 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, DOD ID number, 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 noncommissioned officer evaluation reports**

If a rated NCO is officially relieved (see AR 623–3), the following specific instructions apply to completing a “Relief for Cause” NCOER:

*a.* Rating official directing the relief will clearly explain the reason for relief and that they directed the relief when completing their portion of the NCOER. If the relieving official is the rater, the rater will explain the reason for relief in part IV; if the relieving official is the senior rater, in part V, block e (see para 3–20).

*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 non-rating 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 the appropriate block (see para 3–20).

*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 Individual Reservist 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 any time 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 (see AR 623–3).

#### **3–24. How to make corrections to DA Form 2166–9 series noncommissioned officer evaluation reports**

*a.* NCOERs that have been received and accepted for processing at HQDA will be visible in the EES when the receipt date is on or before the load date shown in the EES 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 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 errors contained within a NCOER. Following correction of these errors, the corrected NCOER will be re-submitted to HQDA using the EES. 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 Form 2166–9 series noncommissioned officer evaluation reports**

HQDA review of NCOERs may identify errors within the content of a NCOER. Such NCOERs will be indicated as “rejected” in the EES or they will be returned to the sender in the EES. NCOERs with the following errors will be rejected as invalid:

*a.* Senior rater does not meet the minimum grade and 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.
- 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 noncommissioned officer evaluation reports**

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"— USAR only; for reassignment of USAR Soldiers to an IRR Control Group.
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" Used for USAR and NGB NCOER reports only.
19	HRC directed	"AHRC directed"
31	NGB directed	"NGB directed"

Note. Codes other than those indicated in this table may appear in the drop-down menu on electronic forms. 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 noncommissioned officer evaluation reports**

Codes	Reason
A	Absent without leave, desertion, or 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.

**Table 3-17**  
**Reason codes for nonrated time for DA Form 2166-9 series noncommissioned officer evaluation reports—Continued**

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.

*Note.* Codes other than those indicated in this table may appear in the drop-down menu on electronic forms. Use only the codes found in this table for processing NCOERS.

## **Chapter 4**

### **Preparation of DA Form 1059, DA Form 1059-1, and DA Form 1059-2**

#### **Section I**

##### **DA Form 1059**

###### **4-1. Purpose and process for DA Form 1059**

*a. Purpose.* DA Form 1059 is prepared to document the participation of Soldiers who take part in resident and nonresident training at professional military education (PME) and functional training courses for which the preparation of DA Form 1059 as a course document has been deemed appropriate. DA Form 1059 is normally required for RA, USAR, and ARNG Soldiers taking courses at Army schools, DOD-sponsored schools, NCO academies, allied nation schools (RA Soldiers only), and USAR chaplain schooling (see AR 623-3 for policy guidance and school-specific information). In accordance with AR 350-1 and AR 350-10, Army Training Requirements and Resources System (ATRRS) is the Army's system of record for training at Army and non-Army schools. All training requirements, schedules, quota assignments, and student reservations, enrollment, and completion entries are required to be documented in ATRRS. All EES entries and AER submissions to HQDA failing validation against ATRRS may result in a delay or failure to process the AER to the Soldiers AMHRR.

*Note.* The terms "Soldier" and "student" are synonymous for purposes of this chapter.

*b. Process.* Information required to complete DA Form 1059 for students attending Service schools and NCO academies is described in paragraphs 4-2 through 4-5 and table 4-1. The reviewing official is responsible for the accuracy of the information on the completed DA Form 1059 (see AR 623-3 for policy guidance on preparation and submission requirements).

*c. Sample.* See figure 4-1 for a sample of DA Form 1059.

HQDA#:					See Privacy Act Statement in AR 623-3.		
<b>SERVICE SCHOOL ACADEMIC EVALUATION REPORT</b> For use of this form, see AR 623-3; the proponent agency is DCS, G-1.							
<b>PART I - ADMINISTRATIVE DATA</b>							
a. NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL		b. DDC ID No. 1111111111	c. RANK 1LT	d. BRANCH AR	e. SPECIALTY/PMOSC 19A00		
f. COURSE TITLE (SEE DA PAM 623-3, TABLE 4-1)		g. NAME AND LOCATION OF SCHOOL (SEE DA PAM 623-3, TABLE 4-1)					
h. DURATION OF COURSE FROM (YYYYMMDD) THRU (YYYYMMDD) 20190715 20191015		i. COMPONENT RA	j. NO. OF ENCLOSURES	k. RATED STUDENT'S EMAIL ADDRESS (.gov or .mil) (SEE DA PAM 623-3, TABLE 4-1)			
l. REASON FOR SUBMISSION							
<input checked="" type="checkbox"/> COURSE COMPLETION MILITARY EDUCATION LEVEL: _____		<input type="checkbox"/> INTERIM REPORT <input type="checkbox"/> PHASE COMPLETION / PHASE # ____ OF ____		<input type="checkbox"/> AHRC DIRECTED <input type="checkbox"/> RELEASED EARLY (NO FAULT OF STUDENT) <input type="checkbox"/> DID NOT GRADUATE			
<b>PART II - ACADEMIC ACHIEVEMENT (ACADEMIC RATER)</b>							
a. DOES SOLDIER FULLY SUPPORT SHARP, EO, AND EEO: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (comments are required)		b. APFT PASS / FAIL / PROFILE: <u>PASS</u> DATE: <u>20190718</u>					
c. HEIGHT: <u>72</u> WEIGHT: <u>170</u> WITHIN STANDARD? <u>Yes</u> Comments required below, for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.							
e1. ASI/SQI AWARDED:		I. COMMENTS:					
SKILL IDENTIFIER: e2. CODE: _____							
f. CHARACTER/ACCOUNTABILITY:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
(SEE DA PAM 623-3, TABLE 4-2)							
g. PRESENCE/COMPREHENSIVE FITNESS:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
h. INTELLECT/CRITICAL THINKING & PROBLEM SOLVING:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
i. LEADS/COMMUNICATION & ENGAGEMENT:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
j. DEVELOPS/COLLABORATION:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
k. ACHIEVES/LIFE LONG LEARNER:							
FAR EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		EXCEEDED STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		MET STANDARDS <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		DID NOT MEET STANDARDS <input type="checkbox"/> <input type="checkbox"/>	
						NOT EVALUATED	
l. SPECIAL PROJECT(S) OR PAPER(S): 1) (SEE DA PAM 623-3, TABLE 4-2) 2) _____ 3) _____							
<b>PART III - OVERALL ACADEMIC ACHIEVEMENT (REVIEWING OFFICIAL)</b>							
a. Select one box representing Rated Student's overall academic achievement. Rated Student's class standing is # ____ of ____ (Class Standing use is limited to top 40%)		b. COMMENTS:					
<input type="checkbox"/> Commandant's List (limited to 20%) <input type="checkbox"/> Superior Academic Achievement (21% to 40%) <input type="checkbox"/> Achieved Course Standards <input type="checkbox"/> Failed to Achieve Course Standards		(SEE DA PAM 623-3, TABLE 4-3)					
c. RATED STUDENT HAS DEMONSTRATED APTITUDE FOR THE FOLLOWING ASSIGNMENT(S): 1) (SEE DA PAM 623-3, TABLE 4-3)    2) (SEE DA PAM 623-3, TABLE 4-3)    3) (SEE DA PAM 623-3, TABLE 4-3)							

DA FORM 1059, MAR 2019

PREVIOUS EDITIONS ARE OBSOLETE.

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Figure 4-1. Sample of DA Form 1059

## **4–2. Administrative data**

Part I of DA Form 1059 is for administrative data, including identification of the rated student, the type of course attended, the duration of the course, and the reason for submitting the DA Form 1059 (see Table 4–13 for a list of codes and reasons for submitting AERs).

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**Table 4–1**  
**Administrative data for DA Form 1059**

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**DA Form 1059, part I: block a—Name**

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

**Reference:** None

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**DA Form 1059, part I: block b—DOD ID number**

**Action required:** Enter rated Soldier's unique 10-digit DOD ID number located on the reverse side of the CAC.

**Reference:** None

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**DA Form 1059, part I: block c—Rank**

**Action required:** Enter the 3-letter rank (for example, COL, CPT, CW2, MSG, or SGT).

**Reference:** None

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**DA Form 1059, part I: block d—Branch**

**Action required:** Enter the Soldier's 2-letter basic branch abbreviation.

**Reference:** None

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**DA Form 1059, part I: block e—Specialty/PMOSC**

**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 (refer to the Soldier's record brief).

**Reference:** None

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**DA Form 1059, part I: block f—Course title**

**Action required:** Enter the course title as it appears in ATRRS, to include class number and year.

**Reference:** None

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**DA Form 1059, part I: block g—Name and location of school**

**Action required:** Enter name and location of school.

**Reference:** None

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**DA Form 1059, part I: block h—Duration of course**

**Action required:** Enter the "FROM" date (beginning date of the course) and the "THRU" date (last date of the course) (YYYYMMDD).

— 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 or supervision prior to his or her termination or dismissal from that course and the appropriate reason for submission will be selected. For example, the ATRRS course end date is 20190315 and the student is dismissed from the class on 20190201, the "THRU" date entered will be 20190201, not the ATRRS course end date.

— If a student becomes enrolled into a class after the ATRRS class start date, the "FROM" date on the DA Form 1059 will be the day the student started the class. For example, ATRRS class start date is 20190101, and the student was placed into the class on 20190223, the "FROM" date entered will be 20190223. The academic rater will provide comments explaining the late enrollment in part II, block I.

— Soldiers attending resident courses 12 months or longer requiring interim reports will receive DA Form 1059 with duration of course annotations as follows (see AR 623–3 for exceptions):

— An interim report AER (selected in block I) will be prepared 12 months (1 calendar year) after the start of the program and every 12 months thereafter until the completion of the program or course to document the student's progress at that time. The course duration will be "FROM" the start date of the course "THRU" 365 days (366 days for leap year). For example, the course start date is 20190401. The first interim report "FROM" date will be 20190401 with a "THRU" date of 20200331, covering 12 months (1 calendar year). Subsequent interim reports will be prepared 12 months (1 calendar year) thereafter as required.

— A final report with the appropriate reason for submission will be prepared following the final interim report to arrive no later than 90 days after the completion or termination of training. Continuing from the example above with the previous interim report through 20200331 and course finalizing on 20200827, the course duration on the "course completion" AER (selected in block I) will be "FROM" 20200401 "THRU" 20200827, the course end date.

**Reference:** AR 623–3

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**Table 4–1**  
**Administrative data for DA Form 1059—Continued**

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**DA Form 1059, part I:** block i—Component

**Action required:** Enter component of the Soldier. Enter “RA,” “USAR,” or “ARNG.”

**Reference:** None

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**DA Form 1059, part I:** block j—Number of enclosures

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

**Reference:** None

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**DA Form 1059, part I:** block k—Rated student’s email address

**Action required:** Enter the rated student’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

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**DA Form 1059, part I:** block l—Reason for submission

**Action required:** Select the appropriate reason identifying why DA Form 1059 is being prepared for submission (see AR 623–3).

— *Course completion.* A “course completion” AER will be submitted after successful completion of a DA Form 1059 producing course. For courses consisting of multiple phases, this type of report will only be completed for a course phase that finalizes the completion of all phase requirements of a multiphase course. Course completion academic reports that signify a military education level advancement must annotate the military education level achieved. When “course completion” is selected as the reason for submission and military education level is awarded, annotate the military education level achieved in the “military education level” field below “course completion.” See table 4–14 for military education level codes. When there is no military education level associated to the course, enter code “Y”.

— *Phase completion.* A “phase completion” AER will be submitted upon completion of a course phase for multiphase courses. The phase number completed is required for entry and will be annotated.

— *Released early (no fault of student).* A “released early” AER will be submitted for students that do not meet or complete course requirements and are released early from the course of instruction or degree program through no fault of their own.

— *Did not graduate.* A “did not graduate” AER will be submitted for students who fail to meet course requirements needed for course completion.

— *Interim report.* An “interim report” AER will be prepared 12 months (1 calendar year) after the start of the program to document the student’s progress at that time. Additional “interim report” AERs will be prepared every 12 months thereafter until the completion of the course (see AR 623–3 for exceptions).

— *Amy Human Resource Command directed.* An “AHRC directed” AER will be rendered when the CG, HRC determines there is a need for an AER and directs the issuance.

**Note.** In accordance with AR 350–1 and AR 350–10, ATRRS is the Army’s system of record for training at Army and non-Army schools. All training requirements, schedules, quota assignments, and student reservations, enrollment, and completion entries are required to be documented in ATRRS. All EES entries and AER submissions to HQDA failing validation against ATRRS may result in a delay or failure to process the AER to the Soldiers AMHRR.

**Reference:** AR 350–1, AR 351–3, and AR 623–3

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#### **4–3. Part II, Academic achievement**

a. Part II of DA Form 1059 provides an assessment of a rated student’s academic performance, professionalism, and adherence to attributes and core leader competencies (including APFT and the height and weight entries). This part must be completed for all officer and NCO courses except for students who are 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 further explained in block l.

b. Soldiers attending a course requiring an interim DA Form 1059 in accordance with AR 623–3 will only receive an academic achievement box check selections in part II, blocks f through k on the final DA Form 1059 prepared (that is, “*course completion*”, “*phase completion*”, or “*did not graduate*” reasons for submission). Prepared “*Interim report*” reason for submission reports do not receive academic achievement box check selections in part II, blocks f through k, however, comments are required in part II, block l.

c. Comments throughout the DA Form 1059 AER within part II will be in narrative format. When required, an academic rater will annotate box check selections of “*far exceeded standards*,” “*exceeded standards*,” “*met standards*,” “*did not meet standards*,” or “*not evaluated*” when assessing how well the Soldier demonstrates Army attributes and core leadership competencies.

*d.* Academic achievement is intended to measure the level of performance of each student against the course standards. The academic rater will identify each student's level of achievement by placing an "X" under the most appropriate entry as described below:

(1) If a Soldier successfully achieves and maintains an overall acceptable course standard, as related to the demonstrated competency or attribute, as identified in and consistent with course grading plans, the academic rater will place an "X" in the "MET STANDARDS" box.

(2) If a Soldier's academic performance is above overall standards of the course, as related to the demonstrated competency or attribute, identified in and consistent with course grading plans, the academic rater will place an "X" in the "EXCEEDED STANDARDS" box.

(3) If a Soldier's academic performance is extraordinarily above overall standards of the course, as related to the demonstrated competency or attribute, identified in and consistent with course grading plans, the academic rater will place an "X" in the "FAR EXCEEDED STANDARDS" box.

(4) If a Soldier unsuccessfully achieves and maintains an overall acceptable course standard, as related to the demonstrated competency or attribute, as identified in and consistent with course grading plans, the academic rater will place an "X" in the "DID NOT MEET STANDARDS" box (see AR 623-3 for referred AERs).

(5) If a competency or attribute is not assessed, consistent with course grading plans, the academic rater will place an "X" in the "NOT EVALUATED" box.

*e.* Soldiers attending PME schools and courses (see AR 350-1) will be administered the APFT for record as a course requirement. Proponents of functional training courses may require an APFT, as either an entrance or graduation requirement, regardless of course length. Successful completion of the APFT is mandatory for course graduation. Soldiers attending the identified PME schools and courses will be administered an initial APFT. For PME courses with multiple phases, the initial APFT will be administered during the first phase of the resident course. If the resident phases are less than 30 days, the PME school will acquire the student APFT results provided by the parent organization of the student for the applicable time period. APFT data will be entered in block b of the DA Form 1059 as indicated in table 4-2. For officers in BOLC and WOBC, see table 4-2 350-1.

*f.* Soldiers who meet academic course requirements but fail to meet the APFT or height and weight standards will have their DA Form 1059 annotated to reflect their performance.

(1) Height and weight standards of AR 600-9 apply at all times, even when the officer is deployed for combat or contingency operations, unless the Soldier has an approved DCS, G-1 waiver of compliance. Soldiers who fail to meet height and weight or body composition standards of AR 600-9 will receive a "NO" in block c and the academic rater will include the comment: "failed to meet body composition standards" in block l. If the Soldier has an approved DCS, G-1 waiver, the academic rater will enter "Rated Soldier 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.

(2) Soldiers who fail to meet APFT standards will receive an APFT "FAIL" in block b and the academic rater will include the comment: "failed to meet APFT standards" in block l.

(3) If a Soldier fails to meet both APFT and height and weight or body composition standards of AR 600-9, the academic rater will include the comment: "failed to meet APFT standards and failed to meet body composition standards" in part II, block l.

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**Table 4-2**  
**Academic achievement for DA Form 1059**

**DA Form 1059, part II:** block a—Does Soldier fully support SHARP, equal opportunity, and EEO

**Action required:** The academic rater will check "YES" or "NO" indicating the Soldier's adherence to the Army's SHARP, equal opportunity, and EEO programs.

— The academic rater will comment on any substantiated finding in an Army or DOD investigation or inquiry that the rated Soldier:

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

— For Soldiers who are found with substantiated SHARP, equal opportunity, or EEO complaints resulting from an AR 15-6 investigation or other official investigation by military or civil authorities, "NO" will be selected in part II, block a and a bullet comment "does not support SHARP, equal opportunity, and EEO" will be annotated by the academic rater in part II, block l. Additionally, the

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**Table 4–2**  
**Academic achievement for DA Form 1059—Continued**

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reviewing official will select “Failed to Achieve Course Standards” in part III, block a and annotate a bullet comment in part III, block b (see para 4–16 for AER referral).

**Reference:** ADRP 6–22, ADP 6–22, AR 600–20, and AR 623–3

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**DA Form 1059, part II: block b—APFT**

**Action required:** In the space after the word “APFT,” the academic rater will enter “PASS” or “FAIL” and the date (YYYYMMDD) administered. Sample entries are “PASS 20100414,” “FAIL 20100507,” or “PROFILE 20100302.” APFT numerical scores will not be entered for a required date entry in this portion.

— Soldiers attending PME schools and courses (see AR 350–1) will be administered the APFT for record as a course requirement. Proponents of functional training courses may require an APFT, as either an entrance or graduation requirement, regardless of course length. Successful completion of the APFT is mandatory for course graduation. Soldiers attending the identified PME schools and courses will be administered an initial APFT. For PME courses with multiple phases, the initial APFT will be administered during the first phase of the resident course.

— Officers attending BOLC and WOBC will pass a record APFT prior to graduation from their final BOLC or WOBC. Additional guidance on APFT requirements for BOLC and WOBC students is stated in AR 350–1.

— 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 academic rater will explain the reason why it has been left blank.

— The academic rater will address a “FAIL” entry for APFT in the narrative space provided in part II, block I. Comments on “FAIL” entries may include the reasons for failure.

— For pregnant Soldiers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the academic rater will enter the following statement in part II, block I: “Exempt from APFT requirement in accordance with AR 40–501.” When using the electronic form within the EES, the APFT and height and weight statement will be combined.

— When APFT is not a course requirement, the APFT entry is left blank. The academic rater will provide a full explanation within part II, block I for the absence.

**Reference:** AR 350–1

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**DA Form 1059, part II: block c—Height/Weight**

**Action required:** In the space after “HEIGHT” and “WEIGHT” (HT/WT) the academic rater will enter the rated Soldier’s height and weight. An entry of “YES” or “NO” will be placed in the space next to “WITHIN STANDARD” to indicate compliance or noncompliance with AR 600–9.

— DA Form 1059 producing PME courses beyond initial military training will administer HT/WT screening as a course requirement in accordance with AR 350–1, and the results will be entered on the DA Form 1059. In addition, proponents of DA Form 1059 producing functional courses that require an HT/WT screening as a graduation requirement will enter height and weight data, and “YES” or “NO” (to indicate compliance with the body composition standards of AR 600–9) (see para 4–3f for comments required for 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 prior to graduation from their final BOLC or WOBC.

— For a Soldier 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 academic rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600–9 in part II, block I. 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 1059 purposes. The progress or lack of progress in a weight control program will be indicated.

— For pregnant Soldiers, the entire entry is left blank. The academic rater will enter the following statement in part II, block I “Exempt from weight control standards of AR 600–9.” 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 a Soldier’s pregnancy in any manner when completing the DA Form 1059.

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**Table 4–2**  
**Academic achievement for DA Form 1059—Continued**

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- For Soldiers with major limb loss, the entire entry is left blank. The academic rater will enter the following statement in part II, block I: “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 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 1059.
- For rated Soldiers having an approved DCS, G–1 waiver, the entire entry will be left blank. The academic rater will enter the following statement in part II, block I “Rated Soldier 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.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the Soldier is deployed for combat or contingency operations.
- When a course requirement, this entry will not be left blank other than the exceptions indicated above.
- When not a course requirement and the entry is left blank, the academic rater will provide a full explanation for the absence within part II, block I.

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

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**DA Form 1059, part II: block d—Overall grade point average (GPA)**

**Action required:**

- In the space after “overall grade point average,” the academic rater will enter the rated Soldiers accumulative GPA.
- In the space after “of,” the academic rater will enter the maximum GPA the student can receive based on the grading system established by the school.
- If the course does not require a GPA, this entry will be left blank.

**Reference:** None

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**DA Form 1059, part II: block e1—Skill identifier (SI)**

**Action required:** Enter the appropriate skill identifier (SI) for the appropriate skill identifier awarded during the course or individual course phase.

- Example SI entries will be “AS”—Additional Skill Identifier, “SQ”—Skill Qualifications Identifier, or “PD”—Project development Skill Identifier.
- If a multiphase course, and award of the skill identifier requires all phases be complete, the skill identifier will only be entered on the final “course completion” reason for submission DA Form 1059, regardless of phase sequence completion. For example, if a 3-phase course (one, two, and three) is taken out of sequence (two, one, and three) where the skill identifier is awarded during phase two, and the course completion is phase three, the skill identifier will be awarded on the “course completion” phase three DA Form 1059. This field allows up to four entries.

*Note.* The EES wizard application provides a drop-down menu to select the appropriate skill identifier, if awarded.

**Reference:** AR 611–1 and DA Pam 611–21

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**DA Form 1059, part II: block e2—Code**

**Action required:** Enter the appropriate SI alphanumeric code that corresponds with the respective SI selected in block e1.

- Example code entries are: “1A,” “1B,” “2B,” “2S,” “K8.”

**Reference:** AR 611–1 and DA Pam 611–21

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**DA Form 1059, part II: block f—Character/accountability**

**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated character and accountability during the course, as defined below:

- Soldiers and leaders demonstrate Army values, the Soldier’s Creed, and Warrior Ethos through action while also developing character and accountability in subordinates. They accept obligations of service before self and for assigned tasks, missions, their subordinates, and themselves while building confidence in leaders, peers, and subordinates that they can be counted upon to accomplish goals. Soldier and leader actions are guided by the Army Ethic, which consists of the shared values, beliefs, ideals, and principles held by the Army Profession of Arms and embedded in its culture that are taught to, internalized by, and practiced by all Soldiers in full-spectrum operations as well as peacetime.
- Adhering to and internalizing the Army Ethic develops strong character, ethical reasoning and decision making, empathy for others, and the self-discipline to always do what is right for fellow Soldiers, the Army, and the Nation. Character enables the Soldier to operate in a complex and uncertain environment with the understanding that the Soldier is individually accountable for not only what is done, but also for what might not be done. The pride, esprit, and ethos required of Soldiers as members of the Profession of Arms may require them to sacrifice themselves willingly to preserve the Nation, accomplish the mission, or protect the lives of fellow Soldiers. Qualities of character and ethical behavior will be stressed at every level.

**Reference:** TP 525–8–2 and paragraph 4–3

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**DA Form 1059, part II: block g—Presence/comprehensive fitness**

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**Table 4–2**  
**Academic achievement for DA Form 1059—Continued**

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**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated presence and comprehensive fitness during the course, as defined below:

Soldiers and leaders develop and maintain individual, as well as that of their subordinates, physical, emotional, social, Family, and spiritual fitness. They display physical, mental, and emotional persistence, quickly recover from difficult situations, and exemplify the resilience necessary to fight and win in any operational situation.

**Reference:** TP 525–8–2 and paragraph 4–3

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**DA Form 1059, part II:** block h—Intellect/critical thinking and problem solving

**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated intellect, critical thinking, and problem solving during the course, as defined below:

Soldiers and leaders analyze and evaluate thinking, with a view to improving it. They solve complex problems by using experiences, training, education, critical questioning, convergent, critical, and creative thinking, and collaboration to develop solutions. Throughout their careers, Soldiers and leaders continue to analyze information and hone thinking skills while handling problems of increasing complexity. Select leaders also develop strategic thinking skills necessary for assignments at the national level.

**Reference:** TP 525–8–2 and paragraph 4–3

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**DA Form 1059, part II:** block i—Leads/communication and engagement

**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated leadership, communication, and engagement during the course, as defined below:

Soldiers and leaders express themselves clearly and succinctly in oral, written, and digital communications. They use interpersonal tact, influence, and communication to build effective working relationships and social networks that facilitate knowledge acquisition and provide feedback necessary for continuous improvement.

Soldiers and leaders inform and educate U.S., allied, and other relevant publics and actors to gain and maintain trust, confidence, and support. Engagement is characterized by a comprehensive commitment to transparency, accountability, and credibility, and is an imperative of 21st century operations.

**Reference:** TP 525–8–2 and paragraph 4–3

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**DA Form 1059, part II:** block j—Develops/collaboration

**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated development and collaboration during the course, as defined below:

Soldiers and leaders create high-performing formal and informal groups by leading, motivating, and influencing individuals and partners to work toward common goals effectively. They are effective team members, understand team dynamics, and take appropriate action to foster trust, cohesion, communication, cooperation, effectiveness, and dependability within the team. Leaders build teams, seek multiple perspectives, alternative viewpoints, and manage team conflict.

**Reference:** TP 525–8–2 and para 4–3

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**DA Form 1059, part II:** block k—Achieves/lifelong learner

**Action required:** The academic rater will check the box that best indicates how well the Soldier demonstrated achievement and lifelong learning during the course, as defined below:

Soldiers and leaders continually assess themselves, identify what they need to learn and use skills that help them to effectively acquire and update knowledge, skills, and attitudes. Soldiers and leaders value and integrate all forms of learning (formal, informal) on a daily basis to seek improvement of themselves and their organizations continuously.

Soldiers and leaders access, evaluate, and use information from a variety of sources and leverage technology (hardware and software) to improve their effectiveness and that of their teams while executing the Army's missions. Digital literacy skills are developed at initial entry and increase progressively at each career level.

**Reference:** TP 525–8–2 and paragraph 4–3

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**DA Form 1059, part II:** block l-Academic rater comments

**Action required:** The academic rater has up to eight lines of narrative comments to describe the capabilities or limitations of the student, including significant achievements or deficiencies.

a. Comments should capture if the student—

(1) Displayed exceptional potential or demonstrated any exceptional capabilities, aptitudes, or limitations that should be considered in future selection opportunities 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.

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**Table 4–2**  
**Academic achievement for DA Form 1059—Continued**

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b. If appropriate, comments should also be made if the student has demonstrated the potential to be a Service school instructor.  
**Reference:** AR 623–3

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**DA Form 1059, part II:** block m—Special Project or Paper

**Action required:** When applicable, the academic rater will list up to three projects or papers that were successfully completed during the course that may have potential value to the Army. This entry will remain blank if the course does not require special projects or papers.

**Reference:** None

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#### **4–4. Part III, Overall academic achievement**

Part III of DA Form 1059 provides an assessment of the student's overall academic potential to the next higher level of schooling or training. Table 4–3 details instructions for completing part III of DA Form 1059. If “Failed to Achieve Course Standards” is checked, DA Form 1059 requires referral. See AR 623–3 for referral procedures.

a. Academic potential pertains to the normal career progression and professional development courses as follows:

(1) *Commissioned officers*. Branch-specific officer captains career course, intermediate level education, and senior service college.

(2) *Warrant officers*. Warrant officer advanced course, warrant officer intermediate level education, and warrant officer senior service education.

(3) *Noncommissioned officers*. Advanced and senior leader courses, master leader course, and the sergeants major course.

b. The reviewing official should assess the rated Soldier's —

(1) Ability to apply the knowledge derived during the school.

(2) Potential compared to students similar experiences and motivations.

(3) Ability to contribute to group discussions.

c. Soldiers attending a course requiring an interim DA Form 1059 in accordance with AR 623–3, will only receive an “overall academic achievement box check” selection in part III, block a. on the final DA Form 1059 (that is, “course completion”, “phase completion”, or “did not graduate” reasons for submission). Prepared “interim report” reason for submission reports do not receive an overall academic achievement box check selection or associated class standing, however, do require comments in part III, block b.

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**Table 4–3**  
**Part III—Overall academic achievement for DA Form 1059**

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**DA Form 1059, part III:** block a—Class standing and overall academic achievement box check

**Action required:** The reviewing official will place a check by the appropriate overall performance level to indicate how well the Soldier performed against the course standards compared to other Soldiers in the class, not an individual section or small group. The school commandant designates the appropriate peer group size for stratification for each course to ensure a fair and transparent evaluation of all students' performance in relation to overall course learning outcomes.

— School proponents and course programs of instruction determine which courses will use all four box selections for an overall academic achievement assessment on DA Form 1059.

— For courses that do not require utilization of all four box selections related to the overall academic achievement, the upper two box check selections (Commandant's List and superior academic achievement) will not be used when completing the Overall Academic Achievement assessment.

— A class standing entry is required for students receiving a selection in one of the upper two box selections (Commandant's List and superior academic achievement). A class standing entry is not authorized and is not annotated for students receiving a box selection of Achieved Course Standards or Failed to Achieve Course Standards.

— For courses using all four box selections assessing overall academic achievement:

1. A class standing will be entered as a number, ranking students receiving a box check selection of Commandant's List or superior academic achievement.

2. The number entered will be the students ranking when compared against those initially enrolled and determined as a class. For example, if 100 students are determined as a class, the class standing will be an entered number of 1 through 40 corresponding to the students ranking of 100 (for example, 1 of 100).

3. No class standing is entered for students receiving a box check selection of Achieved Course Standards or Failed to Achieve Course Standards.

4. The overall academic achievement selection is gauged by the level of performance for the student, compared against course

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**Table 4–3**  
**Part III—Overall academic achievement for DA Form 1059—Continued**

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standards, and the student's performance when compared to other students initially enrolled at the start date for that specific class.

5. If all course requirements have been met and the Soldier has demonstrated skills and abilities that score him or her in the top 20 percent of all students in the class, the reviewing official will place an "X" in the "Commandant's List" box (the number of ratings in this box cannot exceed 20 percent of the total number of Soldiers enrolled in the class).

6. If all course requirements have been met and the student has demonstrated skills and abilities that score him or her in the top 21 to 40 percent of all Soldiers in the class, the reviewing official will place an "X" in the "Superior Academic Achievement" box (the number of ratings in the second box combined with the number of the first box cannot exceed 40 percent of the class total).

7. If all course requirements have been met and the Soldier has achieved the overall acceptable course standards as identified in the course grading plan, the reviewing official will place an "X" in the "Achieved Course Standards" box.

8. If the Soldier fails to meet course requirements as identified in the course grading plan, the reviewing official will place an "X" in the "Failed to Achieve Course Standards" box (see AR 623–3 for referral process).

9. There is no requirement for any selection in the upper Commandant's List box or second box Superior Academic Achievement if no student meets requirements established by the commandant.

10. Students who received a "Did Not Meet Standard" assessment selection within part II, blocks f through k, from the academic rater may only receive a "Failed to Achieve Course Standards" or "Achieved Course Standards" as an overall academic achievement box check selection. An "Achieved Course Standards" selection requires further explanation.

— For course using only a two-box selection assessing overall academic achievement:

1. No class standing will be entered.
2. The upper two box check selections (Commandant's List and superior academic achievement) will not be used when completing the overall academic achievement assessment.
3. If all course requirements have been met and the Soldier has achieved the overall acceptable course standards as identified in the course grading plan the reviewing official will place an "X" in the "Achieved Course Standards" box.
4. If the Soldier fails to meet course requirements as identified in the course grading plan the reviewing official will place an "X" in the "Failed to Achieve Course Standards" box (see AR 623–3 for referral process).
5. Students who receive a "Did Not Meet Standard" assessment selection within part II, blocks f through k from the academic rater and then receive an "Achieved Course Standards" box selection as an overall academic achievement requires further explanation.

**Reference:** AR 623–3

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**DA Form 1059, part III:** block b—Comments

**Action required:** Reviewing official enters narrative comments to address a Soldier's overall academic performance. Comments may also address potential for the next higher level of schooling or training.

**Reference:** None

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**DA Form 1059, part III:** block c—Rated student has demonstrated aptitude for the following assignments

**Action required:** Reviewing official will list any utilization tour or following assignment (when applicable). In addition, they may list potential for future schools or training.

**Reference:** None

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#### **4–5. Part IV, Authentication**

Part IV of DA Form 1059 is for authentication by the rating officials after the DA Form 1059 has been completed at the end of the course. Table 4–4 details instructions for completing part IV of DA Form 1059. To facilitate the Soldier in signing the DA Form 1059 after authentication by the rating officials, the DA Form 1059 can be signed and dated by each individual rating official up to 14 days prior to the "THRU" date of the DA Form 1059; however, the DA Form 1059 cannot be forwarded to HQDA until the "THRU" date of the DA Form 1059. The following rules apply:

- a. The reviewing official's signature and date cannot be before the academic rater's.
- b. The Soldier's signature and date cannot be before the academic rater's or reviewing official's signatures.

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**Table 4–4**  
**Authentication for DA Form 1059**

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**DA Form 1059, part IV:** block a1 through a6 and b1 through b6—Authentication

**Action required:** These sections are prepared and signed by the academic rater and reviewing official. The reviewing official is responsible for ensuring the rated student is presented the opportunity to sign DA Form 1059, part IV, block d(1), after the academic rater and reviewing official have signed and prior to school departure.

— If the rated student is physically unavailable to sign their DA Form 1059 (DA Form 1059 cannot be forwarded to him or her to sign), is unable to sign the DA Form 1059 digitally or manually, or refuses to sign the DA Form 1059 for any reason, the reviewing official will

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**Table 4-4**  
**Authentication for DA Form 1059—Continued**

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either resolve the problem or explain the reason for the lack of the rated student's signature by entering the applicable statement "The rated student was unavailable for signature" or "The rated student refused to sign" in part III, block b.

— A DA Form 1059 stating that the student cannot sign due to CAC issues will not be processed.

— If the report is adverse or contains derogatory information concerning the rated student, it must be referred to the rated student before he or she signs the DA Form 1059.

**Reference:** AR 623–3

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**DA Form 1059, part IV:** block c1—Referred report

**Action required:** If the DA Form 1059 is determined to be referred in accordance with AR 623–3, the reviewing official will place an "X" in the referred 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, answering the question "Do you wish to make comments?"

— The rated Soldier will select "No" if not making comments or "Yes" if they do wish to make comments.

— When the rated Soldier selects "Yes," part IV, block c2 becomes available to the rated Soldier to enter comments.

— The rated Soldier may decide to add comments as a one page attached enclosure instead.

— The rated Soldier may only choose one option when providing comments.

**Reference:** AR 623–3

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**DA Form 1059, part IV:** block c2—Rated student's comments (referred report only)

**Action required:** The rated student will make comments in response to derogatory information when the report is marked referred and the rated student provided an answer "yes" in part IV, block c1. As an alternative, the student can add a one page response as an enclosure attached to the DA Form 1059. Only one option is authorized for a response.

**Reference:** AR 623–3

---

**DA Form 1059, part IV:** blocks d1 and d2—Rated student's signature and date

**Actions required:** The rated student will sign and date the DA Form 1059 after it has been completed and signed by the academic rater and reviewing official.

— The rated student's signature acknowledges that he or she has seen the DA Form 1059, parts I through IV, and verifies the accuracy of the administrative data in part I, the APFT and height and weight data in part II, blocks b and c (when applicable), and the rating officials identified in part IV.

— Confirmation of the administrative data also will normally preclude an appeal by the rated student based on inaccurate administrative data.

— Any administrative errors noted by the rated student will be brought to the attention of the rating officials and corrected prior to the rated student's signature.

**Reference:** AR 623–3

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## Section II

### DA Form 1059–1

#### 4–6. Purpose and process for DA Form 1059–1

*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. The DA Form 1059–1 is 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).

*Note.* The terms "Soldier" and "student" are synonymous for purposes of this section.

*b. Process.* Information required to complete DA Form 1059–1 is described in table 4–5. The administrative reviewer 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 app B for submission addresses).

*c. Sample form.* See figure 4–2 for a sample of DA Form 1059–1.

HQDA#:				
<b>CIVILIAN INSTITUTION ACADEMIC EVALUATION REPORT</b> 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>
<b>PART I - ADMINISTRATIVE DATA</b>				
a. NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL.	b. DOD ID No. 1111111111	c. RANK MAJ	d. BRANCH IN	e. SPECIALTY/PMOSC 11A00
f. COURSE TITLE (SEE DA PAM 623-3, TABLE 4-5)	g. NAME AND LOCATION OF SCHOOL (SEE DA PAM 623-3, TABLE 4-5)			
h. DURATION OF COURSE FROM (YYYYMMDD) THRU (YYYYMMDD) 20190601 20200801	i. COMPONENT (Status Code) RA	j. NO. OF ENCLOSURES 	k. RATED STUDENT'S EMAIL ADDRESS (.gov or .mil) .gov or .mil email address	
l. REASON FOR SUBMISSION  <input checked="" type="checkbox"/> COURSE COMPLETION <input type="checkbox"/> INTERIM REPORT <input type="checkbox"/> INITIAL REPORT <input type="checkbox"/> DID NOT GRADUATE <input type="checkbox"/> AHRC DIRECTED <input type="checkbox"/> RELEASED EARLY (NO FAULT OF STUDENT)      PROJECTED GRADUATION DATE: _____				
m. REASON FOR ATTENDANCE (SEE DA PAM 623-3, TABLE 4-5)				
<b>PART II - DEMONSTRATED ABILITIES</b> (To be completed by the Civilian Institution)				
a. DOES SOLDIER FULLY SUPPORT SHARP, EO, AND EEO:  <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (comments are required)	b. APFT PASS / FAIL / PROFILE:  PASS      DATE: 20190605			
d. OVERALL GRADE POINT AVERAGE: 3.98 of 4.00	c. HEIGHT: 72      WEIGHT: 170      WITHIN STANDARD? Yes  Comments required below, for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.			
e. Written Communication (Comment on student's written communication to include such items as written assignments, research proposals, publications submissions, and publications)  (SEE DA PAM 623-3, TABLE 4-6)				
f. Oral Communication (Comment on student's oral communication to include such items as instruction and presentations)  (SEE DA PAM 623-3, TABLE 4-6)				
g. Research Ability (Comment on student's research abilities to include such items as performance in research/statistical coursework, research proposals statistical analysis, and grant writing)  (SEE DA PAM 623-3, TABLE 4-6)				
h. ACADEMIC EVALUATION (To be completed by the Civilian Institution) ATTACH AN OFFICIAL TRANSCRIPT IN DUPLICATE  EVALUATION (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, leadership opportunities, or deficiencies noted, etc. Include aptitude for further schooling)  (SEE DA PAM 623-3, TABLE 4-6)				
i. SPECIAL PROJECT(S) OR PAPER(S): 1) (SEE DA PAM 623-3, TABLE 4-6) 2) 3)				
<b>PART III - ADMINISTRATIVE REVIEW</b> (To be completed by the Administrative Reviewer)				
a. DID THE STUDENT SUCCESSFULLY COMPLETE THE COURSE? (A "NO" response must be supported by comments in block b. An Official Transcript must be attached prior to submission of the report to the AMHRR) <input type="checkbox"/> YES <input type="checkbox"/> NO				
b. ADMINISTRATIVE REVIEWER COMMENTS  (SEE DA PAM 623-3, TABLE 4-7)				
c. RATED STUDENT HAS DEMONSTRATED APTITUDE FOR THE FOLLOWING UTILIZATION TOUR/FOLLOW-ON ASSIGNMENT(S): 1) (SEE DA PAM 623-3, TABLE 4-7)      2) (SEE DA PAM 623-3, TABLE 4-7)      3) (SEE DA PAM 623-3, TABLE 4-7)				

DA FORM 1059-1, MAR 2019

PREVIOUS EDITIONS ARE OBSOLETE.

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Figure 4-2. Sample of a DA Form 1059-1

#### **4-7. Administrative data**

Part I of DA Form 1059–1 is for administrative data, including identification of the rated student, the type of course attended, the duration of the course, the reason for attendance (for initial report only), and the reason for submitting the DA Form 1059–1 (see Table 4–13 for a list of codes and reasons for submitting AERs).

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**Table 4–5**  
**Administrative data for DA Form 1059–1**

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**DA Form 1059–1, part I: block a—Name**

**Action required:** Enter rated Soldier's full name (last, first, MI, and suffix) in all capital letters.

**Reference:** None

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**DA Form 1059–1, part I: block b—DOD ID number**

**Action required:** Enter the rated Soldier's unique 10-digit DOD ID number located on the reverse side of the CAC.

**Reference:** None

---

**DA Form 1059–1, part I: block c—Rank**

**Action required:** Enter the 3-letter rank (for example, COL, CPT, CW2, MSG, or SGT).

**Reference:** None

---

**DA Form 1059–1, part I: block d—Branch**

**Action required:** Enter the rated Soldier's two character basic branch abbreviation.

**Reference:** DA Pam 611–21

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**DA Form 1059–1, part I: block e—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 the Soldier's record brief).

**Reference:** None

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**DA Form 1059–1, part I: block f—Course title**

**Action required:** Enter the name of the course or program completed.

**Reference:** None

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**DA Form 1059–1, part I: block g—Name and location of school**

**Action required:** Enter name and location of the school.

**Reference:** None

---

**DA Form 1059–1, part I: block h—Duration of course**

**Action required:** Enter the "FROM" date (beginning date of the course) and the "THRU" date (last date of the course) (YYYYMMDD).

— 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 or supervision prior to his or her termination or dismissal and the appropriate reason for submission will be selected.

— Soldiers attending courses in long-term civilian education programs of more than 12 months but less than 24 months will receive DA Form 1059–1 with duration of course annotations as:

(a) An "interim report" reason for submission will be prepared 12 months (1 calendar year) after the beginning of the training program to document the student's progress at that time. The course duration will be "FROM" the beginning date of the course and "THRU" 365 days (366 days for leap year). For example, the course start date is 20190217. The "interim report" reason for submission "FROM" date will be 20190217 with a "THRU" date of 20200216, covering 12 months (1 calendar year).

(b) A final report (with the appropriate reason for submission) will be prepared following the interim report and submitted to HRC (AHRC–OPL–L) or AMEDD Student Detachment, as applicable, to arrive no later than 90 days after the completion or termination of training. Continuing from the example above with the course finalizing 20210210, the course duration on the "course completion" reason for submission will be "FROM" 20200217 "THRU" 20210210, the course end date.

— Soldiers attending long-term civilian education programs of more than 24 months will receive DA Form 1059–1 with duration of course annotations as:

(a) An "initial report" reason for submission will be prepared at the start of the program by AMEDD Student Detachment or by the HRC Advanced Education Programs Branch for all programs governed under AR 621–1 and AR 621–7 in coordination with career or program manager. Both the "FROM" and "THRU" date entries for duration of course will be the start date of the program (for example,

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**Table 4–5**  
**Administrative data for DA Form 1059–1—Continued**

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the program start date is 20190401 and graduates 20220227. The duration of course entry for the initial report will be “FROM” 20190401 “THRU” 20190401.

(b) An “interim report” reason for submission will be prepared 12 months (1 calendar year) thereafter until the completion of the program or course to document the student’s progress at that time. The course duration will be “FROM” one day after the previous report (either an initial or previous interim) “THRU” 365 days (366 days for leap year). For example, the course start date is 20190401. The first “interim report” reason for submission “FROM” date will be 20190402 with a “THRU” date of 20200401, covering 12 months (1 calendar year). Subsequent interim reports will be prepared 12 months (1 calendar year) thereafter as required.

(c) A final report (with the appropriate reason for submission) will be prepared following the final interim report and submitted to HRC (AHRC–OPL–L) or AMEDD Student Detachment, as applicable, to arrive no later than 90 days after the completion or termination of training. Continuing from the examples above with the previous interim report through 20210401 and course finalizing 20220227, the course duration on the “course completion” reason for submission will be “FROM” 20210402 “THRU” 20220227, the course end date.

**Reference:** AR 623–3

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**DA Form 1059–1, part I: block i—Component**

**Action required:** Enter component of the Soldier. Enter “RA,” “USAR,” or “ARNG.”

**Reference:** None

---

**DA Form 1059–1, part I: block j—Number of enclosures**

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

**Reference:** None

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**DA Form 1059–1, part I: block k—Rated Soldier’s email address**

**Action required:** Enter the rated student’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, mary.longemailthatexceedstextspace@).

**Reference:** None

---

**DA Form 1059–1, part I: block l—Reason for submission**

**Action required:** Select the appropriate reason identifying why DA Form 1059–1 is being prepared for submission (see AR 623–3).

— *Initial report.* An “initial report” reason for submission will be prepared at the start of the course for Soldiers attending long-term education programs extending two or more years. An “Initial report” requires mandatory comments addressing the specific school, fellow, doctorate, or scholar program selected for attendance. Additional comments will address targeted degree, dissertation, thesis topic, and utilization tour or follow-on assignment, as applicable. A projected graduation date will be entered in part I, block l (for additional information, see AR 623–3).

— *Interim report.* An “interim report” reason for submission will be prepared 12 months (1 calendar year) after the start of the program to document the student’s progress at that time. Additional “Interim Report” AERs will be prepared every 12 months thereafter until the completion of the course (see AR 623–3).

— *Course completion.* A final “course completion” reason for submission will be prepared and submitted to HRC (AHRC–OPL–L) or AMEDD Student Detachment as applicable to arrive no later than 90 days after successful completion of training.

— *Released early (no fault of student).* A “released early (no fault of student)” reason for submission will be submitted for students that do not meet or complete course requirements and are released early from the course of instruction or degree program through no fault of their own. Comments are required in part III, block b that will fully explain the circumstance of release due to no fault of the student. DA Form 1059–1 part II, blocks d through i, and part III, blocks a and c, will not be completed.

— *Did not graduate.* A “did not graduate” reason for submission will be submitted for students that fail to meet course requirements needed for course completion.

— *Army Human Resource Command directed.* An “AHRC directed” reason for submission DA Form 1059–1 will only be rendered when the CG, HRC determines there is a need for a DA Form 1059–1 and directs the issuance.

— In cases where a Soldier is terminated from a training program for reasons other than a “released early (no fault of student),” concise details addressing the early release will be documented and explained in part II, block h, when prepared by the civilian institution.

**Reference:** AR 623–3

---

**DA Form 1059–1, part I: block m—Reason for attendance (used only for “initial report” reason for submission)**

**Action required:** Student detachment or HRC Advanced Education Programs Branch will complete an initial report for Soldiers attending long term education courses extending 24 months or more. Student Detachment or HRC Advanced Education Programs Branch will provide up to two lines of narrative comments on the initial report addressing the following:

- (1) Specific school, fellowship, doctorate, or scholarship program Soldier was selected to attend
  - (2) Dissertation or thesis topic
  - (3) Degree pursuing
-

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**Table 4–5**  
**Administrative data for DA Form 1059–1—Continued**

- (4) Projected graduation date  
(5) Utilization tour or follow-on assignment  
**Reference:** AR 623–3
- 

#### **4–8. Demonstrated abilities**

Part II of DA Form 1059–1 provides an assessment of student’s academic performance as it relates to the subject area of study. Table 4–6 details instructions for completing part II of DA Form 1059.

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**Table 4–6**  
**Demonstrated abilities for DA Form 1059–1**

**DA Form 1059–1, part II:** block a—Does Soldier fully support SHARP, equal opportunity, and EEO

**Action required:** The academic advisor will check “Yes” or “No” indicating the Soldier’s adherence to the Army’s SHARP, equal opportunity, and EEO Programs.

— The academic advisor will comment on any substantiated finding in an Army or DOD investigation or inquiry that the rated Soldier:  
(1) Committed an act of sexual harassment or sexual assault;  
(2) Failed to report a sexual harassment or sexual assault;  
(3) Failed to respond to a complaint or report of sexual harassment or sexual assault; or  
(4) Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

— For Soldiers who are found with substantiated SHARP, equal opportunity, or EEO complaints resulting from an AR 15–6 investigation or other official investigation by military or civil authorities, “No” will be selected part II, block a and a bullet comment “does not support SHARP, equal opportunity, and EEO” will be annotated by the academic advisor in part II block h. Additionally, the administrative reviewer will annotate “does not support SHARP, equal opportunity, and EEO” in part III, block b.

**Reference:** ADRP 6–22 and ADP 6–22

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**DA Form 1059–1, part II:** block b—APFT

**Action required:** In the space after the word “APFT,” the student detachment or Army representative will enter “PASS” or “FAIL” and the date (YYYYMMDD) administered. Sample entries are “PASS 20100414,” “FAIL 20100507,” or “PROFILE 20100302.” APFT numerical scores will not be entered for a required date entry in this portion.

— 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 student detachment or Army representative will explain the reason why it has been left blank.

— The student detachment or Army representative will address a “FAIL” entry for APFT in the narrative space provided in part II, block h. Comments on “FAIL” entries may include the reasons for failure.

— For pregnant Soldiers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the student detachment or Army representative will enter the following statement in part II, block h: “Exempt from APFT requirement in accordance with AR 40–501.” When using the electronic form within the EES, the APFT and height and weight statement will be combined.

**Reference:** AR 350–1

---

**DA Form 1059–1, part II:** block c—Height/Weight

**Action required:** In the space after “HEIGHT” and “WEIGHT” (HT/WT) the student detachment or Army representative will enter the rated Soldier’s height and weight. An entry of “YES” or “NO” will be placed in the space next to “WITHIN STANDARD” to indicate compliance or noncompliance with AR 600–9. Sample entries are “Height: 72, Weight: 180, YES”; “Height: 71, Weight: 225, NO.”

— For a Soldier 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 student detachment or Army representative will comment on a “NO” entry, indicating noncompliance with the standards of AR 600–9 in part II, block h. These comments should indicate the reason for noncompliance. Medical conditions may be cited for non-compliance; however, the “NO” entry is still required because medical waivers to weight control standards are not permitted for DA Form 1059–1 purposes. The progress or lack of progress in a weight control program will be indicated.

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**Table 4–6**  
**Demonstrated abilities for DA Form 1059–1—Continued**

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- For pregnant Soldiers, the entire entry is left blank. The student detachment or Army representative will enter the following statement in part II, block h “Exempt from weight control standards of AR 600–9.” 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 a Soldier’s pregnancy in any manner when completing the DA Form 1059–1.
- For Soldiers with major limb loss, the entire entry is left blank. The student detachment or Army representative will enter the following statement in part II, block h: “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 or full foot loss. It does not include partial hand or foot, or fingers or toes.
- Student detachment or Army representative will not refer to the major limb loss in any manner when completing the DA Form 1059–1.
- For rated Soldiers having an approved DCS, G–1 waiver, the entire entry will be left blank. The student detachment or Army representative will enter the following statement in part II, block h “Rated Soldier 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 1059–1.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the Soldier is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

**Reference:** AR 600–9, AR 350–1, AR 40–501.

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**DA Form 1059–1, part II: block d—Overall grade point average**

**Action required:**

- In the space after “overall grade point average,” the academic advisor will enter the rated Soldier’s accumulative GPA.
- In the space after “of,” the academic advisor will enter the maximum GPA the student can receive based on the grading system established by the school.
- If the course does not require a GPA, this entry will be left blank.

**Reference:** None

---

**DA Form 1059–1, part II: block e—Written communication**

**Action required:** The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will enter up to four lines of narrative comments addressing how well the rated Soldier demonstrated written communication skills.

**Reference:** None

---

**DA Form 1059–1, part II: block f—Oral communication**

**Action required:** The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will enter up to four lines of narrative comments addressing how well the rated Soldier demonstrated oral communication skills.

**Reference:** None

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**DA Form 1059–1, part II: block g—Research ability**

**Action required:** The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will enter up to four lines of narrative comments addressing rated Soldier’s research ability.

**Reference:** None

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**DA Form 1059–1, part II: block h—Academic evaluation**

**Action required:** Provide up to four lines of narrative text commenting on demonstrated achievements, deficiencies, and any recommendations for future schools.

**Reference:** None

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**DA Form 1059–1, part II: block i—Special project(s) or paper(s)**

**Action required:** List projects, dissertation, thesis topic, or papers that were successfully completed during the course that may have potential value to the Army.

**Reference:** None

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#### **4–9. Administrative review**

Part III of DA Form 1059–1 will be completed and reviewed by HRC Advanced Education Programs Branch (AHRC–OPL–C) or AMEDD Student Detachment (as applicable), or the installation education services officer and with provided comment prior to inclusion in the Soldier’s AMHRR. 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). For students attending courses requiring an “interim report” reason for submission DA Form

1059–1 in accordance with AR 623–3, the reason for submission will be “interim report.” Table 4–7 details instructions for completing part III of DA Form 1059.

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**Table 4–7**  
**Administrative review for DA Form 1059–1**

**DA Form 1059–1, part III:** block a—Did the student successfully complete the course

**Action required:** The administrative reviewer will check the appropriate box. A “NO” response must be supported by comments in block b. An official transcript must be attached prior to submission of the DA Form 1059–1 to the AMHRR. For students attending courses that require an “Interim Report” reason for submission DA Form 1059–1 in accordance with AR 623–3, chapter 3, no selection will occur and both box selections will be left blank.

**Reference:** None

**DA Form 1059–1, part III:** block b—Administrative reviewer comments

**Action required:** Administrative reviewer will list specific school, fellowship, dissertation, thesis topic, and scholarship program completed.

— For “released early (no fault of student)” reason for submission, comments are required and will fully explain the circumstance of release due to no fault of the student. DA Form 1059–1 part II, blocks d through i, and part III, blocks a and c, will not be completed.

**Reference:** None

**DA Form 1059–1, part III:** block c—Rated student has demonstrated aptitude for the following utilization tour or follow-on assignment(s).

**Action required:** Administrative reviewer will list up to three utilization tour or follow-on assignment as applicable.

**Reference:** None

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#### **4–10. Authentication**

Part IV of DA Form 1059–1 is for authentication by the rating officials after the DA Form 1059–1 has been completed. To facilitate the Soldier in signing the DA Form 1059–1 after authentication by the rating officials, the DA Form 1059–1 can be signed and dated by each individual rating official up to 14 days prior to the “THRU” date of the DA Form 1059–1; however, the DA Form 1059–1 cannot be forwarded to HQDA until the “THRU” date of the DA Form 1059–1. The following rules apply:

- a. The administrative reviewer signature and date cannot be before the academic advisor.
- b. The student’s signature and date cannot be before the academic advisor or administrative reviewer signatures.

*Note.* For “initial report” reason for submission reports, part IV, blocks a1 through b7, the signing authority will be Commander, AMEDD Student Detachment or HRC, Chief, Advanced Education Program Branch, or their authorized delegated representative as applicable. The signing authority will authenticate as both academic advisor and administrative reviewer. Both “FROM” and “THRU” date entries of “duration of course” will be the start date of the program (for example, the program start date is 20180401 and graduates 20210227. The duration of course entry will be “FROM” 20180401 “THRU” 20180401).

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**Table 4–8**  
**Authentication for DA Form 1059–1**

**DA Form 1059–1, part IV:** block a1 through a6—Academic advisor information

**Action required:** The dean, department chairperson, faculty advisor, or a designated responsible official of the civilian institution will enter name and title, include telephone number and email address, then sign and date the DA Form 1059–1.

**Reference:** None

**DA Form 1059–1, part IV:** block b1 through b6—Administrative reviewer information

**Action required:** The administrative reviewer will type his or her name and title, include telephone number and email address, then sign and date DA Form 1059–1. The rated Soldier will sign DA Form 1059–1 after the academic advisor and administrative reviewer have signed the DA Form 1059–1.

— If the rated student is physically unavailable to sign their DA Form 1059 (DA Form 1059 cannot be forwarded to him or her to sign), is unable to sign the DA Form 1059 digitally or manually, or refuses to sign the DA Form 1059 for any reason, the reviewing official will either resolve the problem or explain the reason for the lack of the rated student’s signature by entering the applicable statement “The rated student was unavailable for signature” or “The rated student refused to sign” in part III, block b.

— DA Form 1059 stating that the student cannot sign due to CAC issues will not be processed.

— If the report is adverse or contains derogatory information concerning the rated student, it must be referred to the rated student

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**Table 4-8**  
**Authentication for DA Form 1059-1—Continued**

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before he or she signs the DA Form 1059.

**Note.** The administrative reviewer for DA Form 1059-1 associated with the Army's fully and partially funded education programs including training with industry governed by AR 621-1 and AR 621-7 will be HRC Advanced Education Programs Branch (AHRC-OPL-C) (see AR 623-3).

**Reference:** None

**DA Form 1059-1, part IV:** block c1—Referred report

**Action required:** If the DA Form 1059-1 is a referred report in accordance with AR 623-3, the administrative reviewer will mark in the referred box.

— The DA Form 1059-1 will then be given to the rated student for signature and validation and placement of an "X" in the appropriate box answering the question "Do you wish to make comments?" The rated student will select "No" if not providing comments or "Yes" if they do provide comments.

— When the rated Soldier selects "Yes," part IV, block c2 becomes available to the rated Soldier to enter comments. The rated Soldier may decide to add comments as a one page attached enclosure instead.

— The rated Soldier may only choose one option when providing comments.

**Reference:** AR 623-3

**DA Form 1059-1, part IV:** block c2—Rated student comments (referred report only)

**Action required:** The rated Soldier will make comments in response to derogatory information when the report is marked referred and the rated Soldier provided an answer "Yes" in part IV, block c1. As an alternative, the student can add a one page response as an enclosure attach to the DA Form 1059-1. Only one option is authorized for a response.

**Reference:** AR 623-3

**DA Form 1059-1, part IV:** blocks d1 and d2—Rated student's signature and date

**Action required:** The rated student will sign and date DA Form 1059-1 after it has been completed and signed by the academic advisor and the administrative reviewer.

— The rated student's signature acknowledges that he or she has seen the DA Form 1059-1, parts I through IV, and verifies the accuracy of the administrative data in part I, the APFT, height and weight data in part II, blocks b and c (when applicable), and the rating officials identified in part IV.

— Any administrative errors noted by the rated student will be brought to the attention of the rating officials and corrected prior to their signature.

— If the student 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 part III, block b.

**Note.** The administrative reviewer for DA Form 1059-1 associated with the Army's fully and partially funded education programs including training with industry governed by AR 621-1 and AR 621-7 will be the HRC Advanced Education Programs Branch (AHRC-OPL-C) (see AR 623-3).

**Reference:** None

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### Section III

#### DA Form 1059-2

##### 4-11. Purpose and process for DA Form 1059-2

*a. Purpose.* DA Form 1059-2 is prepared to document RA, USAR, and ARNG Soldiers participation when taking courses at Senior Service Colleges and select Command and General Staff Colleges Intermediate Level Education courses. It is required for RA, USAR, and ARNG Soldiers taking courses at Senior Service Colleges and select Command and General Staff College Intermediate Level Education course (see AR 623-3 for policy guidance and school-specific information). In accordance with AR 350-1 and AR 350-10, ATRRS is the Army's system of record for training at Army and non-Army schools. All training requirements, schedules, quota assignments, and student reservations, enrollment, and completion entries are required to be documented in ATRRS. All EES entries and AER submissions to HQDA failing validation against ATRRS may result in a delay or failure to process the AER to the Soldiers AMHRR.

*Note.* The terms "Soldier" and "student" are synonymous for purposes of this section.

*b. Process.* Information required to complete a DA Form 1059-2 for Soldiers attending Senior Service Colleges and Command and General Staff College is described in paragraphs 4-11 through 4-16 and tables 4-9 through 4-12.

The reviewing official is responsible for the accuracy of the information in the completed DA Form 1059–2. For policy guidance on preparation and submission requirements, see AR 623–3.

*c. Sample.* See figure 4–3 for a sample of DA Form 1059–2.

HQDA#:					<b>SENIOR SERVICE AND COMMAND AND GENERAL STAFF COLLEGE ACADEMIC EVALUATION REPORT</b> 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>
<b>PART I - ADMINISTRATIVE DATA</b>							
a. NAME (Last, First, Middle Initial) LAST, FIRST, MIDDLE INITIAL		b. DDC ID No. 111111111	c. RANK LTC	d. BRANCH IN	e. SPECIALTY/PMSOC 11A00		
f. COURSE TITLE (SEE DA PAM 623-3, TABLE 4-9)		g. NAME AND LOCATION OF SCHOOL (SEE DA PAM 623-3, TABLE 4-9)					
h. DURATION OF COURSE FROM (YYYYMMDD) THRU (YYYYMMDD) 20190813 20200611		i. COMPONENT RA	j. NO. OF ENCLOSURES	k. RATED STUDENT'S EMAIL ADDRESS (.gov or .mil) .gov or .mil email address			
l. REASON FOR SUBMISSION <input checked="" type="checkbox"/> COURSE COMPLETION MILITARY EDUCATION LEVEL: _____		<input type="checkbox"/> INTERIM REPORT <input type="checkbox"/> PHASE COMPLETION / PHASE # ____ OF ____		<input type="checkbox"/> AHRC DIRECTED <input type="checkbox"/> RELEASED EARLY (NO FAULT OF STUDENT)		<input type="checkbox"/> DID NOT GRADUATE	
<b>PART II - ACADEMIC PERFORMANCE (ACADEMIC RATER)</b>							
a. DOES SOLDIER FULLY SUPPORT SHARP, EO, AND EEO: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (comments are required)		b. APFT PASS / FAIL / PROFILE: PASS		DATE: 20190830			
		c. HEIGHT: 72 WEIGHT: 170 WITHIN STANDARD? Yes Comments required below, for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.					
d. OVERALL GRADE POINT AVERAGE: 3.89 of 4.00		e1. ASI/SQI AWARDED: SKILL IDENTIFIER: _____ e2. CODE: _____		f. JOINT EDUCATION CREDIT: <input type="checkbox"/> JPME I <input type="checkbox"/> JPME II			
g. Strategic Thinking: Assess the rated Student ability to: think critically, creatively, and systematically; employ an ethical reasoning framework; evaluate contrasting viewpoints; apply historical lessons; and draw valid conclusions. <input type="checkbox"/> Distinguished Performance <input type="checkbox"/> Superior Performance <input type="checkbox"/> Performed to Standards <input type="checkbox"/> Did Not Meet Standards Comments: (SEE DA PAM 623-3, TABLE 4-10)							
h. Written Communication: Assess the rated Student ability to: write clearly, concisely, and correctly; convey ideas convincingly; and use sources skillfully. <input type="checkbox"/> Distinguished Performance <input checked="" type="checkbox"/> Superior Performance <input type="checkbox"/> Performed to Standards <input type="checkbox"/> Did Not Meet Standards Comments: (SEE DA PAM 623-3, TABLE 4-10)							
i. Oral Communication: Assess the rated Student ability to: speak clearly, correctly, and confidently; convey ideas convincingly; and negotiate effectively. <input type="checkbox"/> Distinguished Performance <input type="checkbox"/> Superior Performance <input type="checkbox"/> Performed to Standards <input type="checkbox"/> Did Not Meet Standards Comments: (SEE DA PAM 623-3, TABLE 4-10)							
j. Demonstrated Knowledge, Skills, and Abilities Relevant to Future Assignments; Notable Academic Performance: Comments: (SEE DA PAM 623-3, TABLE 4-10)							
k. SPECIAL PROJECT(S) OR PAPER(S): 1) (SEE DA PAM 623-3, TABLE 4-10) 2) (SEE DA PAM 623-3, TABLE 4-10) 3) (SEE DA PAM 623-3, TABLE 4-10)							
<b>PART III - OVERALL ACADEMIC ACHIEVEMENT AND POTENTIAL</b>							
a. Overall Academic Achievement: <input type="checkbox"/> Distinguished Graduate (limited to 10%) <input type="checkbox"/> Superior Graduate (11% to 30%) <input type="checkbox"/> Graduate <input type="checkbox"/> Non-Graduate		b. COMMENTS: (SEE DA PAM 623-3, TABLE 4-11)					

DA FORM 1059-2, MAY 2018

PREVIOUS EDITIONS ARE OBSOLETE.

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Figure 4-3. Sample of a DA Form 1059-2

#### **4–12. Administrative data**

Part I is for administrative data, including identification of the rated Solider, the type of course attended, the duration of the course, and the reason for submitting the DA Form 1059–2 (see Table 4–13 for a list of codes and reasons for submitting AERs).

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**Table 4–9**  
**Administrative data for DA Form 1059–2**

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**DA Form 1059–2, part I: block a—Name**

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

**Reference:** None

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**DA Form 1059–2, part I: block b—DOD ID number**

**Action required:** Enter rated Soldier's unique 10-digit DOD ID number located on the reverse side of the CAC.

**Reference:** None

---

**DA Form 1059–2, part I: block c—Rank**

**Action required:** Enter the 3-letter rank (for example, MAJ or LTC).

**Reference:** None

---

**DA Form 1059–2, part I: block d—Branch**

**Action required:** Enter the rated Soldier's 2-letter basic branch abbreviation.

**Reference:** None

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**DA Form 1059–2, part I: block e—Specialty/PMOSC**

**Action required:** Enter the AOC codes for commissioned officers (for example, 12A/42H) (see DA Pam 611–21).

**Reference:** DA Pam 611–21

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**DA Form 1059–2, part I: block f—Course title**

**Action required:** Enter the course title as it appears in ATRRS, to include class number and year.

**Reference:** None

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**DA Form 1059–2, part I: block g—Name of school**

**Action required:** Enter name and location of school

**Reference:** None

---

**DA Form 1059–2, part I: block h—Duration of course**

**Action required:** Enter the "FROM" date (beginning date of the course) and the "THRU" date (last date of the course) (YYYYMMDD).

— 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 or supervision prior to his or her termination or dismissal from that course and the appropriate reason for submission will be selected. For example, the ATRRS course end date is 20190315 and the student is dismissed from the class on 20190201, the "THRU" date entered will be 20190201, not the ATRRS course end date.

— If a Soldier becomes enrolled into a class after the ATRRS class start date, the "FROM" date on the DA Form 1059–2 will be the day the Soldier started the class (for example, ATRRS class start date is 20190101, and the Soldier was placed into the class on 20190223, the "FROM" date entered will be 20190223). The Academic Rater will provide comments explaining the late enrollment in part II, block j.

— Soldiers attending resident courses 12 months or longer which require interim reports will receive DA Form 1059–2 with duration of course annotations as follow (see AR 623–3 for exceptions):

(a) An "interim report" reason for submission will be prepared 12 months (1 calendar year) after the start of the program and every 12 months thereafter until the completion of the program or course to document the student's progress at that time. The course duration will be "FROM" the start date of the course "THRU" 365 days (366 days for leap year). For example, the course start date is 20190401. The first "interim report" reason for submission "FROM" date will be 20190401 with a "THRU" date of 20200331, covering 12 months (1 calendar year). Subsequent interim reports will be prepared 12 months (1 calendar year) thereafter as required.

(b) A final report (with the appropriate reason for submission) will be prepared following the final interim report to arrive no later than 90 days after the completion or termination of training. Continuing from the example above with the previous interim report through 20200331 and course finalizing on 20200827, the course duration on the "course completion" reason for submission will be "FROM" 20200401 "THRU" 20200827, the course end date.

**Reference:** AR 623–3

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**Table 4-9**  
**Administrative data for DA Form 1059-2—Continued**

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**DA Form 1059-2, part I: block i-Component**

**Action required:** Enter component of the Soldier. Enter “RA,” “USAR,” “ARNG,” or “other.”

**Reference:** None

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**DA Form 1059-2, part I: block j—Number of enclosures**

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

**Reference:** None

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**DA Form 1059-2, part I: block k—Rated student’s email address**

**Action required:** Enter the rated student’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

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**DA Form 1059-2, part I: block l—Reason for submission**

**Action required:** Enter the appropriate reason identifying why the DA Form 1059-2 is being prepared for submission (see table 4-13 and AR 623-3).

— *Course completion.* A “course completion” reason for submission will be submitted after successful completion of a DA Form 1059-2 producing course. For courses consisting of multiple phases, this type of report will only be completed for a course phase that finalizes the completion of all phase requirements of a multiphase course. Course completion academic reports that signify a military education level advancement must annotate the military education level achieved. When “course completion” is selected as the reason for submission and a military education level is awarded, annotate the military education level achieved in the “military education level” field below “course completion.” See table 4-14 for military education level codes. When there is no military education level associated to the course, enter code “Y”.

— *Phase Completion.* A “phase completion” reason for submission will be submitted upon completion of a course phase for multiphase courses. The phase number completed is required for entry and will be annotated.

— *Released early (no fault of student).* A “released early” reason for submission will be submitted for Soldiers that do not meet or complete course requirements and are released early from the course of instruction or degree program through no fault of their own.

— *Did not graduate.* A “did not graduate” reason for submission will be submitted for Soldiers that fail to meet course requirements needed for course completion.

— *Interim report.* An “interim report” reason for submission will be prepared 12 months (1 calendar year) after the start of the program to document the Soldier’s progress at that time. Additional “interim report” AERs will be prepared every 12 months thereafter until the completion of the course (see AR 623-3 for exceptions).

— *Army Human Resource Command directed.* An “AHRC directed” reason for submission will be rendered when the CG, HRC, determines there is a need for an academic evaluation report and directs the issuance.

**Note.** In accordance with AR 350-1 and AR 350-10, ATRRS is the Army’s system of record for training at Army and non-Army schools. All training requirements, schedules, quota assignments, and student reservations, enrollment, and completion entries are required to be documented in ATRRS. All EES entries and AER submissions to HQDA failing validation against ATRRS may result in a delay or failure to process the AER to the Soldiers AMHRR.

**Reference:** AR 350-1, AR 351-3, and AR 623-3

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#### **4-13. Part II, Academic performance**

a. Part II provides an assessment of a rated Soldier’s academic performance, professionalism, and adherence to attributes, core leader competencies (including APFT and the height and weight entries). Comments are required to articulate the capabilities, potential, or limitations of the student, including significant achievements or deficiencies, SIs, degree awarded, and joint education credit, when applicable.

b. Academic performance is intended to measure the level of performance of each Soldier against the course standards. The academic rater will identify each Soldier’s level of performance by placing an “X” next to the most appropriate entry as described below:

(1) *“Distinguished Performance”* For those Soldiers who demonstrated skills extraordinarily above the standards of the course.

(2) “*Superior Performance*” For those Soldiers whose overall course achievement is above the standards of the course.

(3) “*Performed to Standards*” For those Soldiers who achieved the overall acceptable course standards as identified in the course grading plan.

(4) “*Did Not Meet Standards*” For those Soldiers who did not meet standards.

c. Comments are required to detail and justify the level of performance indicated. All comments will be entered in the block that corresponds with selected box check. Overstamping with “distinguished graduate” “honor graduate,” or “Commandants List,” or any other over-stamping or highlighting is prohibited.

d. Comments will indicate if the Solider—

(1) Displayed exceptional potential or demonstrated any exceptional capabilities, aptitudes, or limitations that should be considered in future selection opportunities 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 (only when found to be in violation of academic rules or procedures).

(8) If demonstrated, comments should be made expressing the Soldier’s potential to be a service school instructor.

e. For Soldiers who are awarded the Master of Strategic Studies degree, enter: “Student is awarded the Master of Strategic Studies degree” in part III, block b.

f. For Soldiers who are awarded the Master of Military Arts and Science degree, enter “Student is awarded the Master of Military Arts and Science” in part III, block b.

g. If “*Did Not Meet Standards*” is checked, referral of DA Form 1059–2 is required (see AR 623–3).

h. Soldiers attending DA Form 1059–2 producing military schools and institutional training courses, in either a PCS or a TDY status, will administered the APFT and height and weight screening as a mandatory course requirement in accordance with AR 350–1 and AR 600–9.

i. Soldiers who meet academic course requirements but fail to meet the APFT or height and weight standards will complete training and their DA Form 1059–2 will be annotated to reflect their performance.

(1) Height and weight standards of AR 600–9 apply at all times, even when the Soldier is deployed for combat or contingency operations, unless the Soldier has an approved DCS, G–1 waiver of compliance. Soldiers who fail to meet height and weight or body composition standards of AR 600–9 will receive a “NO” in block c and the academic rater will include the comment: “failed to meet body composition standards” in block j. If the Soldier has an approved DCS, G–1 waiver, the academic rater will enter “Rated Soldier has a DCS, G–1 waiver of compliance with AR 600–9,” in part II, block j. In such cases, a copy of the DCS, G–1 approval memo will be submitted as an enclosure to the DA Form 1059–2. This entry will not be left blank.

(2) Soldiers who fail to meet APFT standards will receive an APFT “FAIL” in block b, and the academic rater will include the comment: “failed to meet APFT standards” in block j.

(3) Soldiers who fail to meet height and weight or body composition standards of AR 600–9 will receive a “NO” in block c, and the student detachment or Army advisor will include the comment: “failed to meet body composition standards” in block j.

(4) Soldier who fail to meet both APFT and height and weight or body composition standards of AR 600–9, the academic rater will include the comment: “failed to meet APFT standards and failed to meet body composition standards” in block j.

j. Soldiers attending a course requiring any interim DA Form 1059–2 in accordance with AR 623–3, will only receive an academic performance box selection in part II, blocks g. through i. on the final DA Form 1059 prepared (that is, “*Course Completion*”, “*Phase Completion*”, or “*Did Not Graduate*” reasons for submission). Prepared *Interim Report reason for submission reports* do not receive academic performance box check selections, however, comments are required.

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**Table 4-10**

**Part II-Academic Performance for DA Form 1059–2** -----

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**DA Form 1059–2, part II:** block a—Does Soldier fully support SHARP, equal opportunity, and EEO

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**Table 4-10**  
**Part II-Academic Performance for DA Form 1059-2—Continued**

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**Action required:** The academic rater will check “Yes” or “No” indicating the Soldier’s adherence to the Army’s SHARP, equal opportunity, and EEO Programs.

— The academic rater will comment on any substantiated finding in an Army or DOD investigation or inquiry that the rated Soldier:  
(1) Committed an act of sexual harassment or sexual assault;  
(2) Failed to report a sexual harassment or sexual assault;  
(3) Failed to respond to a complaint or report of sexual harassment or sexual assault; or  
(4) Retaliated against a person making a complaint or report of sexual harassment or sexual assault.

— For Soldiers who are found with substantiated SHARP, equal opportunity, or EEO complaints resulting from an AR 15-6 investigation or other official investigation by military or civil authorities, “No” will be selected part II, block a, and a comment “does not support SHARP, equal opportunity, and EEO” will be annotated by the academic rater in part II block j. Additionally, the reviewing official will select “Non-Graduate” in part III, block a, and annotate a narrative comment addressing substantiated findings in part III, block b.

**Reference:** ADRP 6-22, ADP 6-22, AR 600-20, and AR 623-3

---

**DA Form 1059-2, part II: block b—APFT**

**Action Required:** In the space after the word “APFT” the academic rater will enter “PASS” or “FAIL” and the date (YYYYMMDD) administered. Sample entries are “PASS 20100414,” “FAIL 20100507,” or “PROFILE 20100302.” APFT numerical scores will not be entered for a required date entry in this portion.

— Soldiers attending PME schools and courses (see AR 350-1) will be administered the APFT for record as a course requirement. Proponents of functional training courses may require an APFT, as either an entrance or graduation requirement, regardless of course length. Successful completion of the APFT is mandatory for course graduation (see AR 350-1). Soldiers attending the identified PME schools and courses will be administered an initial APFT. For PME courses with multiple phases, the initial APFT will be administered during the first phase of the resident course.

— If resident phases are less than 30 days, the PME school will acquire the Soldier’s APFT results provided by the Soldier’s parent organization for the applicable time period. APFT data will be entered in block b (see para 4-13i for comments required for APFT failure).

— 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 academic rater will explain the reason why it has been left blank.

— The academic rater will address a “FAIL” entry for APFT in the narrative space provided in part II, block j. Comments on “FAIL” entries may include the reasons for failure.

— For pregnant Soldiers who have not taken the APFT within the last 12 months due to pregnancy, convalescent leave, and temporary profile, the academic rater will enter the following statement in part II, block j: “Exempt from APFT requirement in accordance with AR 40-501.” When using the electronic form within the EES, the APFT and height and weight statement will be combined.

— When APFT is not a course requirement, the entry is left blank and the academic rater will provide a full explanation within part II, block j for the absence.

**Reference:** AR 350-1

---

**DA Form 1059-2, part II: block c—Height/Weight**

**Action required:** In the space after “HEIGHT” and “WEIGHT” the academic rater will enter the rated Soldier’s height and weight. An entry of “YES” or “NO” will be placed in the space next to “WITHIN STANDARD” to indicate compliance or noncompliance with AR 600-9.

— DA Form 1059-2 producing PME courses beyond initial military training will administer HT/WT screening as a course requirement in accordance with AR 350-1, and the results will be entered on the DA Form 1059-2. In addition, proponents of DA Form 1059-2 producing functional courses that require an HT/WT screening as a graduation requirement will enter height and weight data, and “YES” or “NO” (to indicate compliance with the body composition standards of AR 600-9). See paragraph 4-13i for comments required for noncompliance with the height and weight standards of AR 600-9.

— For a Soldier 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.

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**Table 4–10****Part II-Academic Performance for DA Form 1059–2—Continued**

- The academic rater will comment on a “NO” entry, indicating noncompliance with the standards of AR 600–9 in part II, block j. 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 1059–2 purposes. The progress or lack of progress in a weight control program will be indicated.
- For pregnant Soldiers, the entire entry is left blank. The academic rater will enter the following statement in part II, block j “Exempt from weight control standards of AR 600–9.” 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 a Soldier’s pregnancy in any manner when completing the DA Form 1059–2.
- For Soldiers with major limb loss, the entire entry is left blank. The academic rater will enter the following statement in part II, block j: “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 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 1059–2.
- For rated officers having an approved DCS, G–1 waiver, the entire entry will be left blank. The academic rater will enter the following statement in part II, block j “Rated Soldier 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 1059–2.
- Compliance with AR 600–9, the height and weight standards of AR 600–9 apply at all times, even when the Soldier is deployed for combat or contingency operations.
- This entry will not be left blank other than the exceptions indicated above.

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

---

**DA Form 1059–2, part II: block d—Overall grade point average****Action required:**

- In the space after “overall grade point average,” the academic rater will enter the rated Soldier’s cumulative GPA.
- In the space after “of,” the academic rater will enter the maximum GPA the Soldier can receive based on the grading system established by the school.
- If the course does not require GPA, this entry will be left blank.

**Reference:** None

---

**DA Form 1059–2, part II: block e1—Skill identifier**

**Action required:** Enter the appropriate skill identifier (SI) for the appropriate skill identifier awarded during the course or individual course phase.

Example SI entries will be “ASI”—Additional Skill Identifier, “SQI”—Skill Qualifications Identifier, or “PDI”—Project development Skill Identifier.

— If a multiphase course, and award of the SI requires all phases be complete, the SI will only be entered on the final “course completion” reason for submission DA Form 1059, regardless of phase sequence completion. For example, if a 3-phase (one, two, and three) course is taken out of sequence (two, one, and three) where the SI is awarded during phase two, and the course completion is phase three, the SI will be awarded on the “course completion” phase three DA Form 1059. This field allows up to four entries.

*Note.* The EES wizard application provides a drop-down menu to select the appropriate SI, if awarded.

**Reference:** AR 611–1 and DA Pam 611–21

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**DA Form 1059–2, part II: block e2—Code**

**Action required:** Enter the appropriate SI alphanumeric code that corresponds with the respective awarded “SI” selected in block e1.

— Example code entries are: “1A,” “1B,” “2B,” “2S,” “K8.”

**Reference:** AR 611–1 and DA Pam 611–21

---

**DA Form 1059–2, part II: block f—Joint education credit**

**Action required:** The academic rater will select JPME I or JPME II joint professional military education level completed only when the course awards. For courses that do not award JPME education level the entry is left blank.

**Reference:** AR 350–1

---

**DA Form 1059–2, part II: block g—Strategic thinking**

**Action required:** The academic rater will check the appropriate box and insert up to four lines of narrative comments that describe the quality of coursework, performance during exercises, and classroom contributions.

**Reference:** None

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**DA Form 1059–2, part II: block h—Written communication**

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**Table 4–10**  
**Part II-Academic Performance for DA Form 1059–2—Continued**

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**Action required:** The academic rater will check the appropriate box and insert up to four lines of narrative comments that describe the quality of written work and research. When assigned, provide the title of the student's principle research project.

**Reference:** None

**DA Form 1059–2, part II:** block i—Oral communication

**Action required:** The academic rater will check the appropriate box and insert up to four lines of narrative comments that describe the quality of oral presentations and performance on oral comprehensive exams (if applicable). Distributed learning students will not be assessed on oral communication.

**Reference:** None

**DA Form 1059–2, part II:** block j—Demonstrated knowledge, skills, and abilities relevant to future assignments

**Action required:** The academic rater will insert up to four lines of narrative that describes the Soldier's unique knowledge, skills, and abilities and accomplishments while a student. Comments should be made if the Soldier—

- (1) Demonstrated leader knowledge, skills, and abilities relevant to future positions.
- (2) Received notable awards and recognitions not mentioned above.
- (3) Participated in special programs and scholar's programs.
- (4) Conducted notable service in class leadership positions.

*Note.* Ensure statements include some form of gradation.

**Reference:** None

**DA Form 1059–2, part II:** block k—Special project(s) or paper(s)

**Action required:** List projects or papers that were successfully completed during the course.

**Reference:** None

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#### **4–14. Part III, Overall academic achievement and potential**

a. Provide an assessment of the Soldier's overall academic potential to the next higher level of schooling and future positions. If "Non-Graduate" is checked, DA Form 1059–2 requires referral. See AR 623–3 for referral procedures.

b. Academic potential pertains to the normal career progression and professional development as outlined in AR 350–1 and DA Pam 600–3.

c. The reviewing official should assess the rated Soldier's—

- (1) Prioritized competencies for future jobs.
  - (2) Notable achievement of program learning outcomes that are useful in future positions.
- 

**Table 4–11**  
**Overall academic achievement and potential for DA Form 1059–2**

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**DA Form 1059–2, part III:** block a—Overall academic achievement box check

**Action required:** The reviewing official will place a check by the appropriate overall performance level to indicate how well the Soldier performed against the course standards compared to all other students (regardless of nationality or service) in the class, not an individual section or small groups. The school commandant designates the appropriate peer group size for stratification for each course to ensure a fair and transparent evaluation of all students' performance in relation to overall course learning outcomes.

— The overall academic achievement selection is gauged by the level of performance for the Soldier compared against course standards and the Soldier's performance when compared to all other students initially enrolled at the start date for that specific class.

— If all course requirements have been met and the Soldier has demonstrated skills and abilities that score him or her in the top 10 percent of all students in the class, the reviewing official will place an "X" in the "Distinguished Graduate" box (the number of ratings in this box cannot exceed 10 percent of the total number of students enrolled at the start date for the class).

— If all course requirements have been met and the Soldier has demonstrated skills and abilities that score him or her in the top 11 to 30 percent of all students in the class, the reviewing official will place an "X" in the "Superior Graduate" box (the number of ratings in the second box combined with the number of ratings in the first box cannot exceed 30 percent of the total number of students enrolled at the start date for the class).

— If all course requirements have been met and the Soldier has achieved the overall acceptable course standards as identified in the course grading plan the reviewing official will place an "X" in the "Graduate" box.

— If the Soldier fails to meet course requirements as identified in the course grading plan, the reviewing official will place an "X" in the "Non-Graduate" box (see AR 623–3 for required referral process).

— There is no requirement for a selection in the upper distinguished graduate box or second box superior graduate if no Soldier meets requirements established by the commandant.

— Soldiers who received a "Did Not Meet Standard" assessment selection within part II, blocks g through j, from the academic rater may only receive a "Graduate" or "Non-Graduate" selection as an overall academic achievement box check selection. A selection of

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**Table 4-11**  
**Overall academic achievement and potential for DA Form 1059-2—Continued**

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“Graduate” requires further explanation.

**Reference:** AR 350-1 and AR 623-3

**DA Form 1059-2, part III:** block b—Comments

**Action required:** Reviewing official enters narrative comments to address the Soldier’s potential for selection to the next higher level of schooling or future positions.

— For Soldiers who are awarded the Master of Military Arts and Science degree, enter “Student is awarded the Master of Military Arts and Science.”

— For Soldiers who are awarded the Master of Strategic Studies degree enter: “Student is awarded the Master of Strategic Studies degree.”

**Reference:** None

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#### **4-15. Part IV, Authentication**

Part IV of the DA Form 1059-2 is for authentication by the rating officials after the DA Form 1059-2 has been completed at the end of the course. To facilitate the Soldier in signing the DA Form 1059-2 after authentication by the rating officials, the DA Form 1059-2 can be signed and dated by each individual rating official up to 14 days prior to the “THRU” date of the DA Form 1059-2; however, the DA Form 1059-2 cannot be forwarded to HQDA until the “THRU” date of the DA Form 1059-2. The following rules apply:

- a. The reviewing official’s signature and date cannot be before the academic rater’s.
  - b. The student’s signature and date cannot be before the academic rater’s or reviewing official’s signatures.
- 

**Table 4-12**  
**Authentication for DA Form 1059-2**

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**DA Form 1059-2, part IV:** blocks a1 through a6 and b1 through b6—Authentication

**Action required:** These sections are prepared and signed by the academic rater and reviewing official. The reviewing official is responsible for ensuring the rated student is presented the opportunity to sign DA Form 1059, part IV, block d(1), after the academic rater and reviewing official have signed and prior to school departure.

— If the rated Soldier is physically unavailable to sign their DA Form 1059-2 (DA Form 1059-2 cannot be forwarded to him or her to sign), is unable to sign the DA Form 1059-2 digitally or manually, or refuses to sign the DA Form 1059-2 for any reason, the reviewing official will either resolve the problem or explain the reason for lack of the rated Soldier’s signature by entering the applicable statement “The rated student was unavailable for signature” or “The rated student refused to sign” in part III, block b.

— DA Form 1059-2 stating that the Soldier cannot sign due to CAC issues will not be processed.

— If the report is adverse or contains derogatory information concerning the rated Soldier, it must be referred to the rated Soldier before he or she signs the DA Form 1059-2.

**Reference:** AR 623-3

**DA Form 1059-2, part IV:** block c1—Referred report

**Action required:** If the DA Form 1059-2 is determined to be referred in accordance with AR 623-3, the reviewing official will place an X in the referred 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, answering the question “Do you wish to make comments?” The rated Soldier will select “No” if not making comments or “Yes” if they do wish to make comments.

— When the rated Soldier selects “Yes,” part IV, block c2 becomes available to the rated Soldier to enter comments. The rated Soldier may decide to add comments as a one page attached enclosure instead. The rated Soldier may only choose one option when providing comments.

**Reference:** AR 623-3

**DA Form 1059-2, part IV:** block c2—Rated student’s comments (referred report only)

**Action required:** The rated Soldier will make comments in response to derogatory information when the report is marked referred and the rated Soldier provided an answer “yes” in part IV, block c1. As an alternative, the Soldier can add a one page response as an enclosure attached to the DA Form 1059-2. Only one option is authorized for a response.

**Reference:** AR 623-3

**DA Form 1059-2, part IV:** blocks d1 and d2—Rated student’s signature and date

**Actions required:** The rated Soldier will sign and date the DA Form 1059-2 after it has been completed and signed by the academic rater and reviewing official.

— The rated Soldier’s signature acknowledges that the rated Soldier has seen the DA Form 1059-2, parts I through IV, verifies the

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**Table 4-12**  
**Authentication for DA Form 1059-2—Continued**

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accuracy of the administrative data in part I, the APFT, height and weight data in part II, blocks b and c (when applicable), and the rating officials in part IV.

— Confirmation of the administrative data also will normally preclude an appeal by the rated Soldier based on inaccurate administrative data.

— Any administrative errors noted by the rated Soldier will be brought to the attention of the rating officials and corrected prior to their signature.

**Reference:** AR 623-3

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#### **4-16. Referral process for DA Form 1059 series academic evaluation reports and mandatory supplementary review requirements**

All DA Form 1059 series AERs annotated as “referred” in part IV, block c1 require the evaluation be presented to the rated Soldier for comment. DA Form 1059 series AER referral requirements are outlined in AR 623-3 and exist when specific derogatory assessments occur on the completed AER (see AR 623-3 for DA Form 1059 series AER referral policy and entries requiring a referred or adverse report).

*a. Referred Report.* If a referral of an AER is required (see AR 623-3), the reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will place an “X” in the “referred” box, part IV, block c1 on the completed AER. The AER will then be given to the rated student for signature and placement of an “X” in “Yes” or “No” box in part IV, block c2 answering the question “This is a referred report, Do you wish to make comments?” The rated student will select “Yes” if the rated student enters comments or include comments as a single page document to the completed evaluation. If the rated student does not wish to provide comments, they will select “No.” While the rated student may refuse to sign a referred AER, the rated student must check either the “Yes” or “No” box to indicate whether or not comments will be provided.

(1) The rated student may comment if they believe that the rating or remarks are incorrect. The comments must be factual, concise, and limited to matters directly related to the evaluation rendered on the AER; rating officials may not rebut rated student’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 student’s best interest; therefore, they should be avoided. Any enclosures or attachments to rebuttal comments will be withdrawn and returned to the rated student when the AER is forwarded to HQDA.

(2) The rated student’s comments do not constitute an appeal. Appeals are processed separately, as outlined in chapter 6. Likewise, the rated student’s comments do not constitute a request for a commander’s inquiry. Such a request must be submitted separately (see AR 623-3).

(3) If the reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) decides that the comments provide significant new facts about the rated student’s performance and that these facts could affect the rated student’s evaluation, they may refer them to the other rating officials. The other rating officials, in turn, may reconsider their individual evaluations. The reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will not pressure or influence the other rating officials to change their evaluation assessment. Any rating official who elects to raise his or her evaluation of the rated student as a result of this action may do so. However, the evaluation may not be lowered because of the rated student’s comments. If the AER is changed but still requires referral, the AER must again be referred to the rated student for acknowledgment and new comments. Only the latest acknowledgment and comments (if submitted) will be forwarded to HQDA with the completed AER.

(4) If the rated student is unavailable to sign the AER for any reason or cannot be contacted and a written referral is required (referral policy for an AER is in AR 623-3) the following procedure must be followed:

(a) The reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will refer, in writing, a copy of the completed AER (signed and dated by all rating officials) to the rated student for acknowledgment and comment (see fig 2-6 for an example referral memorandum and fig 2-7 for an example acknowledgment memorandum). This will be done even if the rated student has departed due to PCS, retirement, or REFRAD.

(b) A reasonable suspense date should be given for the rated student to complete this action. In this referral, the rated student will be advised that his or her comments do not constitute an appeal or request for a commander’s or commandant’s inquiry.

(5) Upon receipt of the rated student's acknowledgment, the reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will include it with an original or a signed copy of the referral letter to the original AER and forward it to—

- (a) The supplementary reviewer, if appropriate.
- (b) HQDA for processing, as appropriate.
- (c) The other rating officials if paragraph 4-16a(3) applies.

(6) If the rated student fails to respond within the suspense period, the reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will include a signed copy of the referral to the original AER and indicate either on the original referral memorandum or a second document that the rated student failed to complete his or her acknowledgment. The reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will then send it to HQDA for processing, as appropriate.

(7) The reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will, when possible, refer AERs to the rated student prior to his or her departure.

(8) A rated student is responsible for leaving a current forwarding address or email address when he or she departs. Mailing a referred AER by certified mail to a student's last disclosed mailing address is sufficient to constitute constructive service of a referred AER. If an AER sent by certified mail to a student's last known forwarding address is returned, indicating that the student may not be reached at that address, the reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) 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 student failed to complete his or her acknowledgment. The reviewing official (DA Form 1059 and DA Form 1059-2) or administrative reviewer (DA Form 1059-1) will then send it to HQDA for processing, as appropriate.

b. *Supplementary Review.* Evaluation report reviews provide oversight of the evaluation reporting process, compliance with policy guidance in AR 623-3, compliance with procedural guidance in this regulation, and the accuracy of the completed report. For DA Form 1059 and DA Form 1059-2, the supplementary review is conducted by an official in the chain of supervision, as determined by the school commandant. Supplementary reviews will go no higher than the school commandant. For DA Form 1059-1, a supplementary review is conducted by HRC, Advanced Education Programs Branch (AHRC-OPL-C) and AMEDD Student Detachment as applicable. Documented supplementary reviews are required for academic failure evaluation reports (see AR 623-3).

(1) For DA Form 1059 and DA Form 1059-2, a supplementary review is required for all "Failed to Achieve Course Standards" (DA Form 1059) and "Non-Graduate" (DA Form 1059-2) part III, block a, "Overall Academic Achievement" box check selections which result in "Did Not Graduate" as the reason for submission in part I, block 1. The supplementary review will be conducted by the person in the chain of supervision above the reviewing official, unless the commandant is the reviewing official. Supplementary reviews will go no higher than the school commandant. School commandants may delegate signatory or approval authority to the registrar to perform supplementary review functions. The commandant's delegation must be filed locally and rescinded or updated when a change of commandant occurs (see AR 623-3 for further policy requirements).

(2) For DA Form 1059-1, a supplementary review is required for DA Form 1059-1 that reflects a "Did Not Graduate" reason for submission in part I, block 1. The supplementary review is required by the Chief, Advanced Education Programs Branch (AHRC-OPL-C) or Chief, AMEDD Student Detachment as applicable.

(3) Reviewers of supplementary reviewers of "Did Not Graduate," "Failed to Achieve Course Standards," or "Non-Graduate," AERs will—

(a) Ensure that the narrative portions of the AER contain factual information that fully explain and justify the reason for the academic failure.

- (b) Verify that any derogatory information has been accurately reflected.
- (c) Ensure that the AER has been prepared in accordance with AR 623-3 and this pamphlet.
- (d) Ensure referral procedures have been followed in accordance with AR 623-3.
- (e) Review student's referral comments, if provided.

(4) The supplementary reviewer will provide comments as an enclosure to the AER (see AR 623-3 for sample memoranda for supplementary reviews). The school commandant, Chief, Army Physical Examination Board, and Chief, AMEDD Student Detachment is the highest authority for required supplementary reviews.

(a) If the supplementary reviewer is satisfied that the AER is clear, accurate, complete, and fully in accordance with the provisions of AR 623-3 and this pamphlet, they will indicate this on the prepared memorandum (see AR 623-3) submitted to HQDA with the completed AER and referral comments (if any) provided by the rated Soldier.

(b) If the supplementary reviewer finds that the AER is unclear, contains errors of fact, or is otherwise in violation of AR 623-3, they will return the AER to the academic 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 academic rater or reviewing official. When the AER has been corrected, it will be returned to the reviewing official.

(c) A changed AER must be referred again to the rated Soldier, in accordance with AR 623–3, so that the corrected AER may be acknowledged by the rated Soldier and new comments provided, if desired. Only the final referral memorandum, acknowledgment memorandum, and rated Soldier comments are retained with the AER when forwarding back to the supplementary reviewer.

(d) If the corrected AER is satisfactory to the supplementary reviewer, the reviewing official will indicate so on the prepared supplementary reviewer memoranda allowing the AER to continue to process.

(e) If the corrected AER is not satisfactory to supplementary reviewer, or if rating officials disagree concerning the need for changes to the AER, the supplementary reviewer will indicate objections to the AER on the supplementary reviewer memoranda. When indicating objections, the supplementary reviewer is restricted to the issues listed in AR 623–3.

c. *Referred academic evaluation or required addendum.* See AR 623–3 for policy to determine whether an AER is referred or requires an addendum.

d. *Redress program and academic evaluation report appeals.* For information on the redress program and AER appeals, see chapter 6 of this pamphlet and AR 623–3.

#### **4-17. Submitting an addendum to previously submitted academic evaluation reports**

Rating officials will submit an addendum to a previously submitted AER when they become aware of new derogatory information that would have resulted in a lower evaluation of the rated student (officer or NCO). Also, 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 student current chain of command who receives new information about a rated student will ensure that all rating officials for the AER impacted by this new information are aware of it and are allowed to comment. If none of the original rating officials want to change or add to the original AER, no addendum will be prepared.

b. The addendum cover memorandum will contain the rated student's name, grade, 10-digit DOD ID number, and the period covered by the AER to which it applies (see para 5–3 for instructions). It will also state that all rating officials 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).

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. If the rated student 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.

**Table 4-13**  
**Codes and reasons for submission for DA Form 1059 series academic evaluation reports**

<b>Codes</b>	<b>Reason</b>	<b>Entered on AER</b>
19	AHRC directed	AHRC directed
60	Interim	"Interim"
61	Initial (long-term education programs extending 24 months or more, DA Form 1059–1 only)	"Initial"
62	Course Completion (when all course requirements are met)	"Course Completion"
63	Released Early (No Fault of Student)	"Released Early (No Fault of Student)"
64	Did Not Graduate (course failure)	"Did Not Graduate"
65	Phase Completion	"Phase Completion"

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**Table 4-13**  
**Codes and reasons for submission for DA Form 1059 series academic evaluation reports—Continued**

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Note. Codes other than those indicated in this table may appear in the drop-down menu on electronic forms. Use only the codes found in this table for processing AERs.

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**Table 4-14**  
**Codes and reasons for submission for DA Form 1059 series academic evaluation reports**

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Military Education Level Code entered on AER	Military School Definition
A	SENIOR SERVICE COLLEGE
B	COMMAND AND STAFF COLLEGE
C	50% COMMAND AND STAFF COLLEGE/INTERMEDIATE LEVEL EDUCATION
D	COMBINED ARMS AND SERVICES STAFF SCHOOL
E	COMBINED ARMS AND SERVICES STAFF SCHOOL - PHASE 1
F	CAPTAINS CAREER COURSE
G	COMMISSIONED OFFICER BASIC COURSE
H	NOMINATIVE LEADERS COURSE
I	COMBINED ARMS EXERCISE COURSE
J	DISTRIBUTED LEARNING /STRUCTURED SELF DEV- LEVEL 6
K	SERGEANT MAJOR COURSE
L	WARRANT OFFICER SENIOR SERVICE EDUCATION
M	WARRANT OFFICER ADVANCED COURSE
N	WARRANT OFFICER BASIC COURSE
O	DISTRIBUTED LEARNING /STRUCTURED SELF DEV- LEVEL 5
P	WARRANT OFFICER CANDIDATE SCHOOL
Q	WARRANT OFFICER INTERMEDIATE LEVEL EDUCATION
R	MASTER LEADER COURSE
S	DISTRIBUTED LEARNING/STRUCTURED SELF DEV-LEVEL 4
T	SENIOR LEADERS COURSE
U	DISTRIBUTED LEARNING/STRUCTURED SELF DEV-LEVEL 3
V	ADVANCED LEADERS COURSE
W	DISTRIBUTED LEARNING/STRUCTURED SELF DEV-LEVEL 2
X	BASIC LEADER COURSE
Y	NO APPLICABLE COURSE
Z	DISTRIBUTED LEARNING /STRUCTURED SELF DEV-LEVEL 1

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## **Chapter 5**

### **Evaluation Report Processing**

#### **Section I**

##### **Evaluation Report Processing and Submission**

###### **5–1. DA Form 67–10 series officer evaluation reports, DA Form 2166–9 series noncommissioned officer evaluation reports, and DA Form 1059 series Academic evaluation reports processing and copies**

Procedural guidance for preparing officer and NCO evaluation reports is found in chapters 2 and 3. Policy guidance is provided in AR 623–3. Where the EES 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 is for a time period prior to the publication of this regulation, then 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 EES. OERs and NCOERs are to be created, digitally signed (exceptions exist for manual signatures), and submitted for acceptance and processing at HQDA through the EES.

(1) OERs and NCOERs prepared using the wizard application associated within the EES on the current Army Publishing Directorate-approved versions of DA Form 67–10 series OERs or DA Form 2166–9 series NCOERs 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 printed or manually signed evaluations cannot be submitted through the EES, therefore, they must be mailed as paper copies to HRC (AHRC–PDV–ER) (see app B for address). Only deployed units are authorized to submit evaluations by email (see para 5–1a(3)). Reports received at HQDA are presumed to be administratively correct. Authorized abbreviations may be used (see AR 25–30); 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 OERs or NCOERs 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) (see app B for address). Basic requirements for printing evaluations for mailing are as follows:

- (a) Must be single document, double-sided, and head-to-head.
  - (b) Full 10-digit DOD ID number (located on the reverse side of the CAC) for the rated Soldier, the rater, and the senior rater, as a minimum. For rating officials who do not possess a DOD ID number, an SSN is required to process the evaluation report. Rating officials may contact the HRC Evaluation Systems and Policy office (see app B) to provide the required SSN. An evaluation report may contain a combination of both identifiers.
  - (c) Must be without extraneous black lines or marks.
  - (d) Manual signatures will be in black or dark blue ink only.
  - (e) Must be as near as possible to 8½ by 11 inches with ½-inch margins.
  - (f) Must be aligned straight on the page.
  - (g) Must be framed on the page with all lines, edges, box checks, and numerical entries visible.
  - (h) Must have balanced contrast between light background and dark fonts (using black and white printer).
  - (i) Printed copies of reports and older form versions must be mailed to HRC (AHRC–PDV–ER) (see app B for address).
- (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. Do not include a Soldier’s SSN or DOD ID number in the subject line of an email.
  - (d) Name attachments with, as a minimum, the rated Soldier’s rank, last name, and the “THRU” date of the evaluation report.

(e) 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 enclosures, both the evaluation report and the enclosures 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 or in accordance with the published MILPER message.

(d) The evaluation report is from a previous rating system (for example, DA Form 67–8 or DA Form 2166–7, which are now obsolete).

(e) The evaluation report contains other errors that cannot be corrected at the HQDA level.

(f) Copies of the evaluation report 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. Copies of classified evaluation reports are not authorized, except as indicated in AR 623–3. 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. The iPERMS website is <https://iperms.hrc.army.mil>.

c. *Derogatory officer and noncommissioned officer evaluation reports*. Evaluation reports identified during processing at HQDA having derogatory content (narrative comments, bullet content, or evaluation reports marked “referred”) will process to the Soldier’s AMHRR with “-R” appended to the file name.

## 5–2. DA Form 1059 series processing and copies

Procedural guidance for preparing academic evaluation reports is found in chapter 4. Policy guidance is provided in AR 623–3. Where the EES 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 AER is for a time period prior to the publication of this regulation, then governing policy and procedural guidance at the time of the period covered by the AER will be used, whenever possible.

a. *Processing*. The Army standard for preparing and submitting AERs is using the wizard application within the EES. AERs are to be created, digitally signed (exceptions exist for manual signatures), and submitted for acceptance and processing at HQDA through the EES.

(1) AERs prepared will be submitted to arrive at HQDA no later than 90 days after the “THRU” date annotated on the report. Current versions of forms have the most up-to-date capabilities. AERs prepared on older form versions and printed or manually signed evaluations cannot be submitted through the EES, therefore, they must be mailed as paper copies to HRC (AHRC–PDV–ER) (see app B for address). AERs will be processed through the appropriate sponsoring agency (see table 5–1). Reports received at HQDA are presumed to be administratively correct. Authorized abbreviations may be used (see AR 25–30); however, acronyms must be spelled out the first time with the acronym indicated within parentheses; thereafter, the acronym may be used alone. Rating officials’ narrative comments may not include prohibited gimmicks (see AR 623–3).

(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) Referred AERs that have not been provided to the rated Soldier for signature and an opportunity to comment will be rejected.

(4) Paper copies of a AERs and any required enclosures, AERs prepared on older form versions, and manually signed AERs must be mailed to HRC (AHRC–PDV–ER) (with the exception of deployed units) (see app B for address). Basic requirements for printing evaluations for mailing are as follows:

(a) Must be single document, double-sided, and head-to-head.

(b) Must include full 10-digit DOD ID number for the rated Soldier.

(c) Must be without extraneous black lines or marks.

(d) Manual signatures will be in black or dark blue ink only.

(e) Must be as near as possible to 8½ by 11 inches with ½-inch margins.

(f) Must be aligned straight on the page.

(g) Must be framed on the page with all lines, edges, box checks, and numerical entries visible.

- (h) Must have balanced contrast between light background and dark fonts (using black and white printer).
- (i) Printed copies of reports and older form versions to must be mailed to HRC (AHRC-PDV-ER) (see app B for address).
- (5) 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:
- CAC-enabled digitally signed .pdf evaluation report with valid signatures.
  - 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.
  - One evaluation report per email with the Soldier's rank, name, and "THRU" date in the subject line. Do not include a Soldier's SSN or DOD ID number in the subject line of an email.
  - Name attachments with, as a minimum, the rated Soldier's rank, last name, and the "THRU" date of the evaluation report.
  - 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 enclosures, both the evaluation report and the enclosures must be sent in a single email.

(6) Evaluation reports submitted by any means will be rejected when—

- Signature dates are more than 14 days before the "THRU" date of the evaluation report.
- The evaluation report contains other errors that cannot be corrected at the HQDA level.
- Copies of the evaluation report are faxed. Faxed reports will be discarded without a record of rejection in the EES.

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. Copies of classified evaluation reports are not authorized, except as indicated in AR 623-3. Rated Soldiers who fail to receive a copy of their AER after the close of the reporting period should request a copy from—

- The academic advisor or administrative section of the Service school or civilian institution.
- His or her AMHRR once the evaluation report has completed processing at HQDA and is put into the iPERMS for filing in the AMHRR. The iPERMS copy of the evaluation report is the Soldier's official record. The iPERMS website is <https://iperms.hrc.army.mil>.

c. *Derogatory academic evaluation reports*. Evaluation reports identified during processing at HQDA having derogatory content (narrative comments, bullet content, or evaluation reports marked "referred") will process to the Soldier's AMHRR with "-R" appended to the file name.

**Table 5-1**  
**Sponsoring agency addresses for DA Form 1059 series**

Sponsoring agency	Address
For RA, USAR, and ARNG officers (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 RA, USAR, and ARNG 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

## **Section II**

### **Addendum Preparation and Forwarding (DA Form 67–10 Series, DA Form 2166–9 Series, and DA Form 1059 Series)**

#### **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 pertaining to the OER, NCOER, or AER to the rated Soldier for acknowledgment and comments before submitting it to DCS, G–1 (AHRC–PDV–EA) (see app B for address).

*b.* The commander's cover memorandum for the addendum will be prepared as shown in figure 5–1. It will contain the rated Soldier's grade, 10-digit DOD ID 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, that all members of the rating chain were made aware of the new derogatory information and were allowed to add comments, and will list those who did not want to comment. The commander will include, as enclosures, the addendum memorandums received from the rater, intermediate rater (if applicable), and senior rater; the referral letter to the rated Soldier; the rated Soldier's comments in response to the addendum; and a copy of documents which justify the addendum (that is, an AR 15–6 investigation, other official investigation with substantiated findings, or other documents substantiating the received derogatory information).

*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 commander's cover memorandum is shown in figure 5–1 sample rating official's response is shown in figure 5–2. 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/NCOER/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/NCOER/AER that is now a matter of permanent record in the Soldier's AMHRR.
2. Each rating official on the subject OER/NCOER/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 (or NCO) is also enclosed. The rated officer's (or NCO's) acknowledgement and comments are at enclosure (*enter number*). -  
**-OR-** The rated officer (or NCO) 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–commander's cover memorandum



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

(Office Symbol)

(Date)

MEMORANDUM FOR U.S. Army Human Resources Command, 1600 Spearhead Division Avenue, Department 470, Fort Knox, KY 40121

SUBJECT: Rater (or Senior Rater) Addendum to (OER, NCOER, or AER) for (Rated Soldier's Name, Rank, SSN or DoDID, Report Period Covered)

1. In accordance with AR 623-3 and DA Pam 623-3, as the (*rater, intermediate rater, senior rater, or academic reviewing official*), I am submitting an addendum to HQDA evaluation (*enter HQDA evaluation ID number*) on (*enter rated Soldier's name*) (OER, NCOER, or AER).
2. This addendum results from the commander's findings on an AR 15-6 Investigation, concluded on (*enter date*), in which the commander substantiated findings of (*state specific finding*) by (*enter rated Soldier's rank and name*). On (*enter date*), I was provided a copy of the commander's findings and recommendations, along with a complete copy of the investigation.
3. Had I been aware of this derogatory information at the time I originally prepared the evaluation report, I would have completed the evaluation as shown below:
  - a. In (*state the specific area, e.g. Part IVc.*), I would have deleted all current comments and replaced them with the following: (*enter assessment based on derogatory information*). Further, in this same area, I would have checked (*indicate the appropriate selection, if applicable*).
  - b. In (*state the specific area, e.g. Part IVe.*), I would have added the following comment: (*enter comments*). In this same area, I would have removed the following: (*enter content that would have not been written*).
  - c. In (*state the specific area, e.g. Part IVb., IVb, Vc*), I would not have included any assignments.
4. The point of contact for this memorandum is the undersigned at (email address and phone number).

# 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 5-2. Sample format for an addendum-rating official's response memorandum

**Table 5–2**  
**Addendum preparation—Continued**

Step	Work center	Action required
1	Rating chain or commander	Upon receipt of previously unknown or unverified derogatory information, contact the BN or BDE S1 or administrative office for assistance in determining if an addendum is appropriate or authorized (see AR 623–3).
2	BN 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 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	Rating official submitting addendum	Prepare addendum in memorandum format in accordance with AR 25–50. The subject line will contain the rated Soldier's name, rank, 10-digit DOD ID number, and period covered for the evaluation. The rating official will state specifically what they would have changed, removed, added, and so forth, had they known about the new derogatory information at the time the evaluation was completed (see fig 5–2).
6	BN 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 figures 5–1 and 5–2 will be prepared. Ensure that separate addendums are prepared for each rating official submitting comments.
7	BN 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.
8	BN or BDE S1 or administrative office	When all administrative processing procedures have been completed for referrals (see para 4–7 and AR 623–3), prepare a cover memorandum for the commander's signature as shown in figure 5–1.
9	Commander	Sign the final addendum that will be prepared for forwarding to HRC (AHRC–PDV–EA) (see app B for address). Include comments from all rating officials, if provided. Comments will only be submitted by members of the original rating chain.
10	BN or BDE S1 or administrative office	Using the commander's cover memorandum, forward all addenda provided by rating officials, 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, BN or BDE S1s, or appropriate administrative personnel are also available to advise and provide assistance in the preparation of an appeal (see AR 623–3 for 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 it is inaccurate or unjust. Some Soldiers do not perform certain duties as well as others and this is one of the things 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.

(1) Appellants must keep in mind that an appeal to remove an evaluation from their AMHRR will not be approved if the evaluation is supported by a general officer memorandum of reprimand (GOMOR) or AR 15–6 investigation in their AMHRR. In these cases, Soldiers should first appeal to the Department of the Army Suitability and Evaluation Board for removal of the GOMOR, and if successful, they can then appeal for removal of the evaluation. AR 600–37 outlines procedures for requesting removal of a GOMOR from a Soldier's AMHRR. The GOMOR should be permanently removed (and not transferred to the restricted portion of the AMHRR) before submitting an appeal. Additionally, Soldiers may not submit an appeal based on an improperly conducted or false findings of an AR 15–6 investigation. CG, HRC has no responsibility or authority in refuting a commander's or appointing authority's investigative findings. In accordance with AR 15–6, a subject, suspect, or respondent may request reconsideration of the findings of an inquiry or investigation upon the discovery of new evidence, mistake of law, mistake of fact, or administrative error to the appointing authority.

(2) Results of a Board of Inquiry (BOI) normally do not add weight to an appellant's contentions. AR 600–8–24 states that a BOI is limited to making a determination on whether to retain an officer on active duty or to eliminate an officer. The burden of proof for removal of an OER is clear and convincing evidence. A BOI's findings will not be used solely to overturn an appealed evaluation.

*b. Obtain evidence.*

(1) Collect supporting evidence necessary to adequately refute 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 non-selection 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), One 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 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, DOD ID number, 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) Beginning in paragraph two of your memorandum, identify the location of (for example, part IV, block a or part IV, block f) and the specific portions of the evaluation report you are appealing (copied directly from the evaluation) and the basis of your disagreement. Be clear, brief, and specific. As you explain why you are appealing the specific comments, point the reviewing agency to the specific evidence that supports your allegations (for example, see enclosure 3) and explain exactly what the evidence is intended to show. Every allegation or claim must be supported by evidence that is material and relevant to your claim (for example, certified true copies of rating schemes, third party statements, authenticated statements from rating official offering new information, or other documents from official sources). Official documents must be certified true copies signed by the commander, BN or BDE S1, or other personnel in positions of authority who can confirm the authenticity of the documents, if contacted. Do not include documents that have no relevance or bearing on your appeal (for example, previous or subsequent evaluations and awards, character letters that do not address the specific allegations and contentions, or the comments in the evaluation). 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, USAR service, or a period of ARNG service, submit the finalized directly to CG, U.S. Army Human Resources Command (AHRC–PDV–EA), 1600 Spearhead Division Avenue, Department Number 470, Fort Knox, KY 40122–5704.

(3) Verify all necessary information (DOD ID number, 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.

**Table 6–1**  
**Appeal preparation and checklist**

Step	Work center	Action required
1	Appellant or interested party	Review this chapter and AR 623–3 to determine if an appeal submission is warranted.
2	Appellant or interested party	Prepare the appeal in memorandum format on letterhead or white bond paper.
3	Appellant or interested party	Ensure the appeal identifies the full name, DOD ID number, rank, branch of the rated Soldier, return mailing address (home address is preferred), DSN or commercial phone number, and official “.gov” or “.mil” email address of the appellant.
4	Appellant or interested party	Ensure the first paragraph indicates the appeal is being submitted under the provisions of AR 623–3. The appeal will also— a. Indicate the period of the evaluation report being appealed. b. State the basis for the appeal (administrative error, inaccuracy of a substantive type, or both). c. Cite the processing priority in AR 623–3. d. Reference supporting evidence.
5	Appellant or interested party	Follow the guidelines outlined below when submitting evidence in support of the appeal: a. Administrative and substantive appeals will be proven by original or certified true copies of appropriate documents. b. Substantive appeals will be supported by originals of typed, signed statements from knowledgeable observers or rating officials during the evaluation report period. c. Statements from rating officials with a self-authored statement by the appellant will not be the sole basis of the appeal. d. Documents such as Army Training and Evaluation Program, annual general inspection, command inspection results, and so on may be useful in supporting a substantive appeal. e. Statements provided in support of appeals will be original statements or official copies, if the original document is not provided. f. A copy of the evaluation report in question will be included in the appeal as enclosure 1. All other enclosures will be labeled (not tabbed) and ordered in the same sequence as you address them in your memorandum. Each piece of evidence (enclosures) must be addressed in your memorandum with an explanation of how it proves your specific claim or allegation is true. g. Do not tab enclosures or submit appeal with staples. h. Submit the appeal one-sided. i. Use only 8½ x 11-inch (letter size) white multifunctional paper. j. Consider appropriateness and relevancy of submission of photos, compact discs, and so forth. k. Each appeal will be complete when submitted to HQDA received. An appeal will not be forwarded or considered until all supporting documentation is enclosed. Officials wishing to provide statements in support of an appeal will provide them to the officer concerned and not to the reviewing authority. No action will be taken on miscellaneous, unaccompanied statements or documents received at HQDA. They will be forwarded to the appellant.
6	Appellant or interested party	Before mailing, review to ensure all enclosures are listed in the cover memorandum, addressed and explained in the cover memorandum, and labeled accordingly. Ensure all signatures and dates are on all documents and address and phone number are present. Enclose a copy of the complete original evaluation report and copy of appeal in a secure container, mailing envelope, or heavy wrapping, as required.
7	Appellant or interested party	Submit completed appeal directly to—U.S. Army Human Resources Command (AHRC–PDV–EA), Evaluation Appeals, 1600 Spearhead Division Avenue, Department 470, Fort Knox, KY 40122–5407.
8	Appellant or interested party	Notify the appropriate agency promptly if mailing address or priority changes. Appellants are notified in writing of appeal decisions. Appellants will receive a copy of the Army Special Review Board’s proceedings upon adjudication as well as actions taken by HRC. If appropriate, the appellant may submit a second appeal strengthened by additional evidence. As an

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**Table 6–1**  
**Appeal preparation and checklist—Continued**

<b>Step</b>	<b>Work center</b>	<b>Action required</b>
		alternative to reconsideration, appellants may apply to the Army Board for Correction of Military Records under the provisions of AR 15–185.



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, HQDA Evaluation ID number (as applicable)*)

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 solely on administrative error. (*Identify each portion of the report with which you disagree. State each entry as it appears and as it correctly should appear.*)
3. (*Include certified true copies of related documents to support your request, for example, rating schemes in effect throughout the entire 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.*)
4. (*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 6–1. 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

*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 table 2–4.)

###### **AR 600–9**

The Army Body Composition Program (Cited in table 2–4.)

###### **AR 600–20**

Army Command Policy (Cited in table 2–1.)

###### **AR 623–3**

Evaluation Reporting System (Cited in para 1–1.)

#### **Section II**

##### **Related Publications**

A related publication is a source of additional information. The user does not have to read a related publication to understand this publication. Unless otherwise stated, all publications are available on the Army Publishing Directorate website (<https://armypubs.army.mil>). DOD publications are available at <https://www.dtic.mil/whs/directives/>. USC material is available at <https://uscode.house.gov/>.

###### **ADP 6–22**

Army Leadership

###### **ADRP 6–22**

Army Leadership

###### **AR 15–6**

Procedures for Administrative Investigations and Boards of Officers

###### **AR 15–185**

Army Board for Correction of Military Records

###### **AR 25–30**

Army Publishing Program

###### **AR 25–50**

Preparing and Managing Correspondence

###### **AR 350–1**

Army Training and Leader Development

###### **AR 350–10**

Management of Army Individual Training Requirements and Resources

###### **AR 351–3**

Professional Education and Training Programs of the Army Medical Department

###### **AR 600–8–24**

Officer Transfers and Discharges

###### **AR 600–37**

Unfavorable Information

###### **AR 611–1**

Military Occupational Classification Structure Development and Implementation

###### **AR 621–1**

Training of Military Personnel at Civilian Institutions

**AR 621-7**

The Army Fellowship and Scholarship Program

**ATP 6-22.1**

The Counseling Process

**DA Pam 600-3**

Officer Professional Development and Career Management

**DA Pam 600-25**

U.S. Army Noncommissioned Officer Professional Development Guide

**DA Pam 611-21**

Military Occupational Classification and Structure

**EO 13478**

Amendments to Executive Order 9397 Relating to Federal Agency Use of Social Security Numbers (Available at

**TP 525-8-2**

The U.S. Army Learning Concept for Training and Education 2020–2040 (Available at <https://www.federalregister.gov/>.)

**10 USC 7013**

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) website (<https://armypubs.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 1059**

Service School Academic Evaluation Report

**DA Form 1059-1**

Civilian Institution Academic Evaluation Report

**DA Form 1059-2**

Senior Service and Command and General Staff College 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 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 and contact information for circumstances relevant to evaluation support.

#### **B–2. Army Military Human Resource Record**

AMHRRs are available at the following web addresses:

*a.* For RA, USAR personnel, and ARNG personnel, access to AMHRRs is available at <https://ip-terms.hrc.army.mil/rms/login.jsp>.

*b.* The HRC website offers access to AMHRRs for all components available at <https://www.hrc.army.mil/>.

**Table B–1**  
**Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Service's personnel offices**

Contact information	Soldier status and applicable form
<p>U.S. Army Human Resources Command (AHRC–OPL–C) 1600 Spearhead Division Avenue, Room 3–2–13 Fort Knox, KY 40122–5407 DSN: 983–6411 Commercial: (502) 613–6411</p> <p>Website: <a href="https://www.hrc.army.mil/site/protect/branches/officer/Leader-Dev/CivSchool/Non_MEL_Programs_Main_Page.htm">https://www.hrc.army.mil/site/protect/branches/officer/Leader-Dev/CivSchool/Non_MEL_Programs_Main_Page.htm</a></p> <p>For AMEDD: AMEDD Student Detachment 187th Medical Battalion 2745 Harney Path, Suite 187 Joint Base San Antonio–Fort Sam Houston, TX 78234–7678 DSN: 471–3201 Commercial: (210) 221–3201 Email: <a href="mailto:usarmy.jbsa.medcom-ameddcos.mbx.student-det@mail.mil">usarmy.jbsa.medcom-ameddcos.mbx.student-det@mail.mil</a></p>	RA and USAR: DA Form 1059–1 (officers only)
<p>U.S. Army Human Resources Command Evaluation Processing (AHRC–PDV–ER) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407<sup>1</sup></p>	<p>For officers: RA, USAR, and ARNG: DA Form 67–10 series OER, DA Form 1059, DA Form 1059–2, and requests for HQDA review of DA Form 67–10 series OER (when U.S. Army officer or uniformed Army advisor for supplementary review is not available)</p> <p>For NCOs: RA and USAR: DA Form 2166–9 series NCOER, DA Form 1059, and requests for HQDA review of DA Form 2166–9 series NCOER (when U.S. Army officer or uniformed Army advisor for supplementary review is not available) ARNG: DA Form 2166–9 series NCOER, DA Form 1059 with “FROM” date of March 1, 2019, and later, and requests for HQDA review of DA Form 2166–9 series NCOER (when U.S. Army officer or uniformed Army advisor for supplementary review is not available)</p>
<p>U.S. Army Human Resources Command Evaluation Appeals (AHRC–PDV–EA) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407 DSN: 938–9022</p>	<p>For officers: Appeals and addenda for RA, USAR, and ARNG: DA Form 67–10 series OER, DA Form 1059, DA Form 1059–2 (requests for administrative correction), and DA Form 1059–1 (RA and USAR)</p>

**Table B-1**  
**Addresses for U.S. Army Human Resources Command, National Guard Bureau, and other Service's personnel offices—Continued**

Contact information	Soldier status and applicable form
Commercial: (502) 613–9022 Email: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil	For NCOs: Appeals and addenda for RA and USAR: DA Form 2166–9 series NCOER and DA Form 1059 (requests for administrative correction or missing evaluation statements) Appeals and addenda for ARNG: DA Form 2166–9 series NCOER and DA Form 1059 with “FROM” date March 1, 2019, and later, or requests for administrative correction <sup>2</sup>
U.S. Army Human Resources Command Evaluation Systems (AHRC–PDV–E) 1600 Spearhead Division Avenue, Department 470 Fort Knox, KY 40122–5407 Commercial: (502) 613–9019 DSN: 983–9019 Email: usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil <sup>3</sup>  Website: <a href="https://www.hrc.army.mil/content/Evaluation%20Selections%20Promotions%20Divisions">https://www.hrc.army.mil/content/Evaluation%20Selections%20Promotions%20Divisions</a> (Policy information or clarification and access to all evaluation report-related applications are available at the web address)	For officers: RA, USAR, and ARNG commander’s and commandant’s inquiries pertaining to DA Form 67–10 series OER, DA Form 1059, and DA Form 1059–2  For NCOs: RA, USAR, and ARNG commander’s and commandant’s inquiries pertaining to DA Form 2166–9 series NCOER and DA Form 1059 <sup>4</sup>
Chief, National Guard Bureau Evaluation Reports (ARNG–HRP–R) 111 South George Mason Drive Arlington, VA 22204–1373 DSN: 327–9706 Commercial: (703) 607–9706	For officers: ARNG: DA Form 1059–1 <sup>5</sup>
Chief, National Guard Bureau Evaluation Appeals (ARNG–HRH) 111 South George Mason Drive Arlington, VA 22204–1373	For officers: Commander’s and commandant’s inquiries and addenda for ARNG DA Form 67–10 series OER, DA Form 1059, DA Form 1059–1, and DA Form 1059–2  For NCOs: Commander’s Inquiry and addenda for ARNG DA Form 2166–8 (NCO Evaluation Report), DA Form 2166–9 series (NCOER), and DA Form 1059, or requests for administrative correction <sup>6</sup>
USN: Information Technology Center ITC 14, Building 3, Third Floor 2251 Lakeshore Drive New Orleans, LA 70145–3533	Non-U.S. Army Servicemember: DA Form 1059 and DA Form 1059–2
USAF: Headquarters, Air Force Personnel Center Directorate of Personnel Services 550 C Street, West Suite 7 Randolph Air Force Base, TX 78150–4709	
U.S. Marine Corps: Commandant, U.S. Marine Corps Headquarters, U.S. Marine Corps 2008 Elliot Road Quantico, VA 22134–5030	

Notes.

<sup>1</sup> EES is the tool to check the status of processing evaluation reports for all OERs, RA and USAR NCOERs, and ARNG DA Form 2166–9 series NCO-ERs.

<sup>2</sup> Administrative correction requests for ARNG evaluation reports and addenda may require HRC, Evaluation Appeals (AHRC–PDV–EA) assistance.

<sup>3</sup> Policy and initiative questions can start here but may also be addressed to specific component evaluation offices.

<sup>4</sup> Rater and senior rater profile reports are available online.

<sup>5</sup> Requests for missing evaluation statements (for ARNG service only) will be sent to the rated Soldier's state officer personnel manager or enlisted personnel manager for review and forwarding actions.

<sup>6</sup> Administrative appeals for ARNG DA Form 2166–8 (all) and DA Forms 1059 having "FROM" dates earlier than March 19, 2019, will be addressed to the rated NCO's state enlisted personnel manager.

## **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. 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 DA Form 67–10–1A are in chapter 2.
- c. 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. For 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 2-way communication and involvement in objective setting and performance assessment. Table C–1 provides preparation recommendations for both raters and rated Soldiers.

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**Table C–1**  
**Counseling session preparation**

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**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 Soldier's preparation:**

8. Draft duty description and major performance objectives.
9. Provide the draft DA Form 67–10–1A to rater.
10. Prepare to discuss duties and objectives.

**Rater's preparation:**

1. Provide rated officer or 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.
2. Receive and review rated officer's draft DA Form 67–10–1A.
3. Select site (private) and schedule with rated officer.
4. Make outline or 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 Soldier's preparation:**

1. Request copies of rater's and senior rater's support forms. Review rating chain.
2. 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.
3. Prepare to discuss, review, and receive approval from rater for duties, goals and expectations, and major performance objectives.

**Rater's preparation:**

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**Table C–1**  
**Counseling session preparation—Continued**

1. Provide rated NCO copies of rater's or 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.
2. Review draft DA Form 2166–9–1A NCOER support form.
3. Make outline or plan for conducting session.

**Session:** Followup counseling—all officers

**DA Form:** 67–10–1A

**Timeframe:** Midpoint and as needed

**Rated Soldier's preparation:**

1. Conduct self-assessment.
2. Draft revisions, duties, and performance objectives.
3. Prepare to discuss revisions, performance, and changing priorities.

**Rater's preparation:**

1. Review DA Form 67–10–1A.
2. Observe and assess rated officer.
3. Review record of observation or assessment.
4. Make outline or plan for conducting session.

**Session:** Followup counseling—NCOs

**DA Form:** 2166–9–1A

**Timeframe:** Quarterly for RA and AGR NCOs and at least semiannually for USAR and ARNG NCOs (including USAR NCOs performing IDT).

**Rated Soldier's preparation:**

1. Conduct self-assessment.
2. Prepare to discuss revisions, performance, changing priorities, and progression toward meeting performance goals and expectations and major performance objectives.
3. Outline target areas for development and corresponding tasks or objectives.

**Rater's preparation:**

1. Review DA Form 2166–9–1A NCOER support form.
2. Observe and assess rated NCO.
3. Review record of observation and assessment.
4. Make outline and plan for conducting session.

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### C–3. Counseling outline

ATP 6–22.1 covers the counseling process in more detail and describes basic components of a counseling session consisting of the following:

*a. Prepare for the session.* Identify the purpose and type of counseling, reflect on the situation, and consider appropriate ways to address the session.

*b. Open the session.* State the purpose of the counseling. Establish a comfortable environment. Invite subordinate to talk early. Employ active listening techniques, both verbal and nonverbal.

*c. Discuss the issues.* Jointly review, discuss, and record duty description and major performance objectives on the applicable support form (DA Form 67–10–1A or DA Form 2166–9–1A). Ask open-ended questions. Respond to clarify the Soldier's message and check understanding. Allow time for reflection. Provide specific feedback concerning the duty description and performance objectives supported by specific observations and behaviors on positive attributes and successes and targeted improvement areas. Revise as necessary. Avoid generalizations. Highlight successes as well as shortcomings. Relate the meaning of the Leadership Requirements Model on the OER and NCOER related to unit and organization duties. Discuss expectations associated with each of these items. A good technique is to let the rated officer, warrant officer, or NCO discuss ideas first. Raters of NCOs being assessed on DA Form 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 and should specify target completion date or timeframe. Performance objectives should be—

- (1) Supportive of unit goals.
- (2) Relevant to an important aspect of the duty position.
- (3) Measurable and verifiable with qualitative or quantitative criteria.
- (4) Results oriented.
- (5) Specific.
- (6) Clearly worded.

- (7) Set in a reasonable time.
- (8) Achievable.
- (9) Challenging.
- (10) Supported by authority and resources.
- (11) Backed by an action plan.

*d. Develop a plan of action.* 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. Identify a method and pathway for achieving a desired result. Emphasize development and improvement. Encourage subordinate involvement to create and modify plan.

*e. Record and close the session.* Review duty description, performance objectives, and action plan. Summarize main points. Record all comments for future assessments.

## **Glossary**

### **Section I**

#### **Abbreviations**

##### **ADOS**

active duty for operational support

##### **ADOS–RC**

active duty for operation support-reserve component

##### **ADP**

Army Doctrine Publication

##### **ADRP**

Army doctrine reference publication

##### **ADT**

active duty for training

##### **AER**

academic evaluation report

##### **AGR**

active guard reserve

##### **AMEDD**

Army Medical Department

##### **AMHRR**

Army Military Human Resource Record

##### **AOC**

area of concentration

##### **APFT**

Army physical fitness test

##### **APMC**

Army Medical Department Professional Management Command

##### **APO**

Army Post Office

##### **AR**

Army regulation

##### **ARNG**

Army National Guard

##### **ASI**

additional skill identifier

##### **AT**

annual training

##### **ATP**

Army Techniques Publication

##### **ATRRS**

Army Training Requirements and Resources System

##### **AU**

Australia

##### **BDE**

brigade

<b>BG</b>	
brigadier general	
<b>BN</b>	
battalion	
<b>BOI</b>	
Board of Inquiry	
<b>BOLC</b>	
Basic Officer Leaders Course	
<b>CAC</b>	
common access card	
<b>CAPT</b>	
captain (U.S. Navy)	
<b>CG</b>	
commanding general	
<b>CIV</b>	
Department of Defense civilian	
<b>CO-ADOS</b>	
contingency operations-active duty for operational support	
<b>COL</b>	
colonel	
<b>CPL</b>	
corporal	
<b>CPT</b>	
captain (U.S. Army)	
<b>CSM</b>	
command sergeant major	
<b>CW2</b>	
chief warrant officer two	
<b>CW3</b>	
chief warrant officer three	
<b>CW4</b>	
chief warrant officer four	
<b>CW5</b>	
chief warrant officer five	
<b>DA</b>	
Department of the Army	
<b>DA Pam</b>	
Department of the Army pamphlet	
<b>DAC</b>	
Department of the Army Civilian	
<b>DCS, G-1</b>	
Deputy Chief of Staff, G-1	
<b>DIMA</b>	
drilling individual mobilization augmentee	
<b>DOD</b>	
Department of Defense	

**DOD ID**

Department of Defense identification

**DSN**

Defense Switched Network

**ECT**

extended combat training

**EEO**

equal employment opportunity

**EES**

Evaluation Entry System

**EO**

executive order

**GBR**

Great Britain

**GG**

general Government

**GM**

general manager

**GO**

general officer

**GOMOR**

general officer memorandum of reprimand

**GPA**

grade point average

**GS**

general schedule

**HQDA**

Headquarters, Department of the Army

**HRC**

U.S. Army Human Resources Command

**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

**JPME**

joint professional military education

**LT**

lieutenant

<b>LTC</b>	lieutenant colonel
<b>MAJ</b>	major
<b>M-DAY</b>	man-day
<b>MEDCOM</b>	U.S. Army Medical Command
<b>MI</b>	middle initial
<b>MILPER</b>	military personnel
<b>MOB</b>	mobilized
<b>MOS</b>	military occupational specialty
<b>MOSC</b>	military occupational specialty code
<b>MSG</b>	master sergeant
<b>NATO</b>	North Atlantic Treaty Organization
<b>NCO</b>	noncommissioned officer
<b>NCOER</b>	noncommissioned officer evaluation report
<b>NGB</b>	National Guard Bureau
<b>OER</b>	officer evaluation report
<b>OJT</b>	on-the-job training
<b>P</b>	promotable
<b>PCS</b>	permanent change of station
<b>PME</b>	professional military education
<b>PMOS</b>	primary military occupational specialty
<b>PMOSC</b>	primary military occupational specialty code
<b>RA</b>	Regular Army
<b>RC</b>	Reserve Component

**REFRAD**

release from active duty

**REFRADOS**

release from active duty for operational support

**REFRADOS-RC**

release from active duty for operational support-Reserve Component

**REFRADT**

release from active duty for training

**REFRAT**

release from annual training

**REFRCO-ADOS**

release from contingency-active duty for operational support

**RYE**

retired year end

**S1**

adjutant

**SD**

special duty

**SES**

senior executive service

**SFC**

sergeant first class

**SGM**

sergeant major

**SGT**

sergeant

**SHARP**

sexual harassment and assault response and prevention

**SI**

skill identifier

**SSG**

staff sergeant

**SSN**

social security number

**TCS**

temporary change of station

**TDA**

table of distribution and allowances

**TDY**

temporary duty

**TOE**

table of organization and equipment

**TP**

U.S. Army Training and Doctrine Command pamphlet

**TPU**

troop program unit

**UA**  
universally administrative

**UIC**  
unit identification code

**USAF**  
United States Air Force

**USAR**  
United States Army Reserve

**USASMA**  
United States Army Sergeants Major Academy

**USC**  
United States Code

**USCG**  
United States Coast Guard

**USMC**  
United States Marine Corps

**USN**  
United States Navy

**WO1**  
warrant officer one

**WOBC**  
Warrant Officer Basic Course

**WTU**  
Warrior transition unit

**1LT**  
first lieutenant

**1SG**  
first sergeant

**2LT**  
second lieutenant

## **Section II**

### **Terms**

#### **Achieved course standards**

When all course requirements have been met and the student has achieved the overall acceptable course standards as identified in the course grading plan.

#### **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, JAGC, or 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 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, and 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 or civilian) involved in providing operational, functional, or technical supervision of a rated Soldier.

**Character**

The essence of who a person is, what a person believes, and how a person acts and consists of the internalization of Army Values, empathy, Warrior and Service Ethos, and discipline attributes. Empathy is identifying and understanding what others think, feel, and believe. Integrity is a key mark of a leader's character. It means doing what is right, legally and morally. Unwaveringly adherence to applicable laws, regulations, and unit standards build credibility with subordinates and enhance trust. Leaders of integrity adhere to the values that are part of their personal identity and set a standard for their followers to emulate.

**Class standing**

When a student is ranked on how well they performed against the course standards when compared to other students in the class.

**Commandant's List**

When all course requirements have been met and the student has demonstrated skills and abilities that score him or her in the top 20 percent of all students in the class.

**Commander's or commandant's inquiry**

Investigation into a Soldier's evaluation report made by an official in the chain of command or supervisory chain above the designated rating officials involved in the allegations to determine if an illegality, injustice, or regulatory violation has occurred. The appointing official for a commander's or commandant's inquiry into an OER will normally be the commander, commandant, or civilian supervisor who rates the senior rater. The appointing official for an NCOER will normally be the commander, commandant, or civilian supervisor who rates the 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**

Encompasses four competencies: (1) create a positive environment inspires an organization's climate and culture; (2) prepares self encourages improvement in leading and other areas of leader responsibility; (3) leaders develop others to assume greater responsibility or achieve higher expertise; and (4) 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 or her charge; exhibits or displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

**Distinguished graduate**

When all course requirements have been met and the rated student has demonstrated skills and abilities that rank him or her in the top 10 percent of all students in the class.

**Distinguished performance**

Students who demonstrate skills extraordinarily above the standards of course.

**Dual supervision**

A situation in which an officer or warrant officer who, during the entire period of evaluation, is assigned separate responsibilities and receives supervision from two different chains of command or supervision. This provision does not apply to NCO rating schemes, NCOERs, or AERs.

**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 or 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.

**Failed to achieve course standards**

Students that fail to meet course requirements as identified in the course grading plan.

**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 or 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.

**Graduate**

When all course requirements have been met and the rated student has achieved the overall acceptable course standards as identified in the course grading plan.

**Headquarters, Department of the Army electronically generated label**

A label placed over the rater's overall performance box and senior rater's potential box check on an OER and NCOER. This label is used for OERs for officers (2LT through COL), warrant officers (WO1 through CW4), and NCOERs (SSG through CSM). It shows a comparison of the block check on the OER and NCOER to all box checks for a given grade in a rater and senior rater's profile and rater tendency on NCOERs. For DA Form 1059 and DA Form 1059-2, a label will be placed over the reviewing officials overall academic achievement box check on DA Form 1059 and overall academic achievement and potential box check on DA Form 1059-2. The label displays the reviewing official's box check assessment and service school class standing as applicable at the time the DA Form 1059 or DA Form 1059-2 is received at HQDA for processing. It also verifies that DA Form 1059 and DA Form 1059-2 received have

been reviewed officially by HQDA prior to becoming a matter of official record in a Soldier's AMHRR. This does not apply to DA Form 1059-1.

#### **Initial academic evaluation report**

DA Form 1059-1 prepared at the time of enrollment when a student attends a long-term education course extending 24 months or more.

#### **Intellect**

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.

#### **Leader 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 multi-source assessment and feedback.

#### **Leads**

Encompasses five competencies. Two competencies 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 or 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.

#### **Non-graduate**

When the student fails to meet course requirements as identified in the course grading plan.

#### **Nonrated time**

Time periods when the rated Soldier cannot be evaluated by the rating officials. Such time periods include, but are not limited to, school attendance, in-transit travel, hospitalization or patient status, convalescent leave, leave periods of 30 days or more, and periods when the rater has not met minimum qualifications. Periods such as breaks in service or time spent in an IRR, Ready Reserve, or ING status are not ratable periods; therefore, these periods will appear as gaps in a rated Soldier's evaluation report history.

#### **Performance counseling**

Planned method to inform Soldiers about their duties and expected performance standards and provide feedback on actual performance. Soldiers' performance includes appearance, conduct, mission accomplishment, and the manner in which duties are carried out. Honest feedback lets Soldiers know how well they are performing compared to the expected standards.

#### **Performance evaluation**

Assessments of how well the rated Soldier met 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.

**Performed to standards**

Student who achieved the overall acceptable course standards as identified in the course grading plan.

**Period of report**

Time period covered by an evaluation report, which includes rated and nonrated time. The period begins the day following the “THRU” (ending) date of the most recent evaluation report and ends on the day of the event causing the current report to be rendered or the last day of supervision or duty day before a Soldier’s departure.

**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 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 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.

**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.

**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 or 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.

**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 or 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 is or exceeds 24 percent 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.

**Superior academic achievement**

When all course requirements have been met and the student has demonstrated skills and abilities that score him or her in the top 21 to 40 percent of all students in class.

**Superior graduate**

When all course requirements have been met and the student has demonstrated skills and abilities that score him or her in the top 11 to 30 percent of all Soldiers in the class.

**Superior performance**

Students whose overall course achievement is above standards of the course.

**Supplementary reviewer**

Provides oversight in the evaluation reporting process. Ensures compliance with the evaluation reporting process, policy guidance of this regulation, and procedural guidance in DA Pam 623-3. Ensures the accuracy of the completed report and ensures 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.

**Suspension**

The temporary removal of the rated Soldier from his or her duty position pending a final decision on an adjudicated issue. The suspended Soldier cannot prepare or submit an evaluation report on their subordinates during the time they are suspended.

**THRU date**

The ending date of the period covered on an evaluation report; the due date for an annual evaluation report; the date on which an event warranting a report to be rendered occurs; or the last day of supervision or last duty day before a Soldier's or a rating official's departure.

**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 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. 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**

The principles, standards, and qualities considered essential for successful Army leaders (Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and 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.

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