



Policy Updates: Army Regulation 623-3

Module 2: Policy Updates

as of 17 April 2015

Good Morning/Afternoon, my name is _____ and I work in _____ as a/the _____.

During this block of instruction, I will provide detailed information on the policy updates to Army Regulation 623-3. I will cover the key changes as well as provide clarification for the policy changes. If you have questions during the brief, feel free to ask them.

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Agenda

- Army Regulation 623-3 Summary of Change
- Allied Armed Forces Rating Officials
- Senior Rater Grade Requirements
- Supplementary Reviewer
- Loss of a Rating Official or Rated Soldier
- Rater Assessment
- Rater Tendency Label / Rater Tendency Report
- Senior Rater Four-Box Check System
- Senior Rater's Managed Assessment
- Broadening Assignment Recommendation
- Mandatory Enclosures
- Evaluation Report Redress Program
- Summary

Unclassified

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Today's agenda will cover the following key areas:

- I will cover key changes to policy in the Summary of Change for AR 623-3
- Provide updates and clarification for Supplementary Reviewer, the Rater Tendency Report, Senior Rater Four-Box Check, and the Senior Rater's Managed Assessment

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Summary of Change

- Chapter 2: The Rating Chain
 - Specifies service members of allied armed forces are authorized to serve as raters for Noncommissioned Officers (Para 2-5a(2)).
 - Updates and clarifies minimum grade requirements to serve as Senior Rater (Para 2-7 and Table 2-1).
 - Updates and defines supplementary review policy (Paras 2-15 through 2-18 and Para 3-10).
 - Updates policy for loss of a rating official or rated Soldier for NCOs (Para 2-19b).
- Chapter 3: Army Evaluation Principles
 - Includes a new NCOER Rater assessment, Rater Tendency Label, and Rater Tendency Report for NCOs of all components, by rank, for Staff Sergeant through Command Sergeant Major (Para 3-7b and Para 3-11).

Unclassified

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Here is the Summary of Change broken down by chapter to demonstrate which sections of the regulation were updated. I will cover all updates in this briefing such as the minimum grade requirements for senior raters of NCOs and the policy for loss of a rating official.

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Summary of Change (cont.)

- Chapter 3: Army Evaluation Principles
 - Incorporates the Senior Rater four-box-check system and Senior Rater Profile Label for DA Form 2166-9-2 (SSG – 1SG/MSG) and DA Form 2166-9-3 (CSM/SGM) (Para 3-9).
 - Includes a new Senior Rater's managed assessment for DA Form 2166-9-2 (SSG – 1SG/MSG) and DA Form 2166-9-3 (CSM/SGM) reinvigorating the importance of the Senior Rater to the overall assessment process and reinforcing accountability (Para 3-9b).
 - Adds one broadening assignment recommendation for NCOs on DA Form 2166-9-1 (SGT), DA Form 2166-9-2 (SSG – 1SG/MSG), and DA Form 2166-9-3 (CSM/SGM) to assist in talent management (Para 3-9b and Para 3-11).

Unclassified

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This is a continuation of changes to Chapter 3, Army Evaluation Principles.

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Summary of Change (cont.)

- Chapter 3: Army Evaluation Principles
 - Clarifies policy when performance and potential comments may be entered by rating officials on evaluation forms (Para 3-17 and Para 3-18).
 - Updates processing procedures for Army National Guard NCOERs (Para 3-33 and App H).
 - Mandates enclosures to DA Form 2166-9 series NCOERs must be in either a .pdf, .jpg, or .tiff format for acceptance as an authorized attachment to the completed evaluation (Para 3-35).
- Chapter 4: Evaluation Report Redress Program
 - Updates policy for newly received derogatory information to incorporate NCOERs (Para 3-38 and Para 4-5).
 - Updates policy for requesting Commander's or Commandant's inquiry (Para 4-5f).

Unclassified

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Here are the remainder of changes for Chapter 3 as well as the changes for Chapter 4. From Chapter 4, we'll discuss the updates for addendums for newly received derogatory information and the policy on requesting commander's and commandant's inquiries.

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Allied Armed Forces Rating Officials

Policy Change:

Specifies service members of allied armed forces are authorized to serve as Raters for Noncommissioned Officers.

Policy Clarification:

- Only in rare instances will service members of allied armed forces be authorized to serve as raters. The rater will be the supervisor for a minimum period of 90 calendar days.
- Members of allied armed forces are not authorized to be Senior Raters.

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

Only in rare instances will an Allied Armed Forces Officer be authorized to serve as rater. It is possible for NCOs to have international officers in their rating chain while serving on NATO or Joint assignments. The international officer may serve as the rater for an NCO; however, they cannot serve as senior raters. To qualify as a rater, the international officer will be the supervisor for a minimum period of 90 calendar days.

Note: There is a minimum requirement of 120 calendar days for all raters of Reserve and National Guard NCOs versus the minimum 90 calendar day requirement for Active Component.

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Senior Rater Grade Requirements

Policy Change:

Updates and clarifies minimum grade requirements to serve as Senior Raters for evaluation reports.

Policy Clarification:

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

Rank of rated officer/NCO	Minimum rank or grade of military senior rater	Minimum grade/schedule and pay grades of civilian supervisor senior rater (Merit/GS pay grade)
SGT/SGTP	E-7 (SFC)	GS-9 or equivalent
SSG/SSGP	E-8 (MSG)	GS-9 or equivalent
SFC/SFCP	E-9 (SGM)	GS-9 or equivalent
MSG/MSGP/1SG/1SGP/SGM/CSM	Senior to the rater	GS-9 or equivalent

Note: A promotable noncommissioned officer is one who is on a promotion list and is currently serving in a position authorized for the next higher rank or grade.

AR 623-3, Table 2-1

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The next policy change updates and provides clarification for the minimum grade requirements for senior raters of NCOs. Table 2-1 lists the senior rater minimum grade requirements for both officers and NCOs. Displayed are the minimum grade requirements for senior raters of NCOs. The minimum grade requirement for senior raters of SGT thru SFCP is two grades up. For MSG-CSM, the senior rater will be senior to the rater by grade or Date of Rank (DOR).

The designation "P" (for promotable) can only be used if the rated NCO is on a published promotion list (or selected for attendance to U.S. Army Sergeants Major Academy) and serving in an authorized position for the next higher level.

Proper use of promotable rank ensures the NCOER is rendered on the correct NCOER grade plate as well as count towards the correct grade for the senior rater's profile. Rated NCOs who are SGTP will continue to use DA Form 2166-9-1.

* NATIONAL GUARD DOES NOT USE "P" DESIGNATOR

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Senior Rater Grade Requirements (cont.)

Personnel authorized to serve as senior raters:

- An Officer or NCO of the U.S. Armed Forces, U.S. Coast Guard, or a DOD civilian (or non-appropriated fund employee).
- Senior executive service (SES) members serving in DOD positions.
- Ambassadors serving at U.S. Consulates.
- Under unique circumstances, requests for other U.S. Government officials to serve as Senior Raters may be granted as an exception to policy.

Note: All senior raters of Reserve and National Guard NCOs must serve a minimum of 90 calendar days versus the minimum 60 calendar day requirement for Active Component.

The senior rating official will be an officer or NCO of the U.S. Armed Forces, Coast Guard, or a Department of Defense civilian. Again, members of Allied armed forces are not authorized to be senior raters. The senior rater must meet the rank requirements in table 2-1, he/she will be the immediate supervisor of the rater, and the senior rater must have been designated as the rated NCO's senior rater for a minimum of 60 days in order to render a report.

A civilian Senior Rater will be a designated supervisor of the Rated NCO serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in table 2-1.

SES members (which are equivalent to General Officers) may serve as senior raters for NCOs of all grades, provided they are in the NCO's chain of supervision and are at least one level above the rater.

Ambassadors serving at the U.S. Consulates under an ambassador's authority may senior rate all grades of NCOs.

Under unique circumstances, an exception to policy may be granted to allow other U.S. Government officials (for example, political appointees) to serve as senior raters. Written requests for exception to policy must be submitted to HRC at the beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the senior rater.

Note: All senior raters of Reserve and National Guard NCOs must serve a minimum of 90 calendar days versus the minimum 60 calendar day requirement for Active Component.

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Supplementary Reviewer

Policy Change:

Updates and defines supplementary review policy to incorporate DA Form 2166-9 series NCOERs.

Policy Clarification:

- Mandatory supplementary reviews are required for: 1) all NCOs with senior raters in the rank of 1LT or below; 2) when no uniformed Army-designated rating official in the grade of CPT or above is in the rating chain for the rated NCO; and 3) "Relief for Cause" evaluation reports when the senior rater or an individual outside of the rating chain directs the relief.
- The supplementary review will be performed by an Army officer, in the rank of CPT or above, within the organization. The officer will be designated as a Uniformed Army Advisor to monitor evaluation practices and provide assistance/advice needed to rating officials (as required) on matters pertaining to Army evaluations.
- Exceptions apply to Commandants of an Army Service School or NCO Academy.

AR 623-3, Para 2-15 – 2-18 & Para 3-10

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In most instances, the senior rater will conduct the final rating chain review of the NCOER. Some cases exist when a supplementary review may be required. These certain situations include:

When the senior rater is in the rank of 1LT or **below (this includes all NCOs, WOs, and LTs)**. The supplementary reviewer will be a U.S. Army officer in the rank of CPT or above. The purpose is to ensure the senior rater is following regulatory guidance and also to provide assistance and advice to the senior rater.

The second instance in which a supplementary reviewer is required is when no uniformed Army-designated rating official exist in the rating chain for the rated NCO. This Uniformed Army Advisor will be Army officer, in the rank of CPT or above, within the organization. He / She will be identified on the published rating scheme at the beginning of the evaluation period by the CDR establishing the rating chain.

The third instance is for Relief for Cause evaluations, when the senior rater has directed the relief or when an individual outside of the rating chain has directed the relief. An additional, yet undocumented, review of completed NCOERs should be done by the senior NCO in the organization to ensure oversight of NCOs' performance.

Exceptions are as follows:

Commandants of an Army service school or NCO academy in the grade of CSM, or SGM serving as the Senior Rater will not require a supplementary review.

Commandants of an Army service school or NCO academy in the grade of CSM, or SGM in the direct line of supervision and senior in pay grade or date of rank to the Senior Rater may perform supplementary reviews. 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.

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Check on Learning

1. If a SSG(P) was serving in an authorized SFC position, which grade would a rendered NCOER count towards when calculating the Senior Rater's profile?
2. What is the minimum calendar day requirement for Senior Raters of USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers?
3. A Supplementary Review is not applicable if the Rater of a SSG is a MSG and the Senior Rater is a CPT in the Air Force. True or False?
4. A British Captain may serve as the Rater for NCOs of all ranks. True or False?

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Check on Learning

1. If a SSG(P) was serving in an authorized SFC position, which grade would a rendered NCOER count towards when calculating the Senior Rater's profile?

Answer: SFC

2. What is the minimum calendar day requirement for Senior Raters of USAR TPU, DIMA, and drilling IRR Soldiers and ARNG Soldiers?

Answer: 90 days

3. True or False. A Supplementary Review is not applicable if the Rater of a SSG is a MSG and the Senior Rater is a CPT in the Air Force.

Answer: False, a supplementary reviewer is required because the Senior Rater is not a US Army officer in the rank of CPT or above

4. True or False. A British Captain may serve as the rater for NCOs of all ranks.

Answer: True



Loss of a Rating Official

Policy Change:

Updates policy for loss of a rating official for NCOs.

Policy Clarification:

- When the Rater is eliminated from the rating chain for any of the reasons cited in paragraph 2-19, it will be determined whether the minimum rating period for an NCOER has been met (see Para 2-10a(1)). **If the minimum rating period has not been met, the period is nonrated and a new rater will be designated.**
- If the minimum rating period has been met, **the Senior Rater will perform the rater's function, but only if they feel qualified to rate and have served in the rating chain for 60 or more calendar days.**

If for any reason a rating official is eliminated from the rating chain, i.e. death, declared missing, relieved of his or her position/duties, or becomes mentally or physically incapacitated to the extent that he or she is unable to render an objective or accurate evaluation, it will be determined whether the minimum rating period for an NCOER has been met. If the minimum rating period has not been met, the period is nonrated and a new rater will be designated. When a rating official is relieved or determined to be incapacitated, he or she will not be permitted to render evaluations for his or her subordinates. This rule applies for evaluations that THRU dates prior to the date of relief or incapacitation of the rating official but has not processed to the rated Soldier's OMPF.

If the minimum rating period has been met, the senior rater will perform the rater's function, but only if he or she feels qualified to rate and has served in the rating chain for 60 or more calendar days. If senior rater does not have adequate knowledge of the rated NCO's performance and potential and does not meet the minimum 60-day requirement, that period will count as nonrated time. If the senior rater assumes the role of rater, they will serve as both rater and senior rater (see Para 2-20).

In cases when the rater and senior rater are removed/suspended, the rating period will normally be declared as non-rated time with a nonrated code of "Z". On a case-by-case basis, HRC may approve an exception to policy, which will allow the senior rater's rater to serve as both rater and senior rater on the rated NCO's evaluation report. In order for this individual to evaluate the rated NCO as the senior rater, he or she must be a member of the U.S. Armed Forces or employee of DOD, be of the appropriate rank or grade to senior rate, and have adequate knowledge of the rated NCO's performance and potential to qualify them to render an evaluation in place of the removed senior rater. Minimum senior rater time qualifications for this individual are not required.

[Note: (if asked) The death of a Soldier does not require an evaluation report to be prepared for submission to HQDA. Any previous evaluation report having a "THRU" date prior to the date of a Soldier's death can still be submitted for processing to the Soldier's AMHRR. Submission and processing must be accomplished within a 6-month window. (AR 623-3, 2-19d)]

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Rater Assessment

(applies to SSG-CSM/SGM)

Policy Change:

Includes a new NCOER Rater assessment, Rater Tendency Label, and Rater Tendency Report for NCOs of all components, by rank, for Staff Sergeant through Command Sergeant Major.

Policy Clarification:

Rater Assessment – For DA Form 2166-9-2 (SSG-1SG/MSG), Part IV, block i, and DA Form 2166-9-3 (CSM/SGM), Part IV, block e, box checks will be an assessment of the Rated NCO's overall performance during the rating period. This performance is evaluated in terms of Rated NCO compared against other NCOs, of the same rank, the rater currently (and previously) rates.

RATER OVERALL PERFORMANCE			
i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate NCOs in this grade.			
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. COMMENTS:			
DA Form 2166-9-2, Part IV, block i			

RATER OVERALL PERFORMANCE			
e. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate NCOs in this grade.			
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. COMMENTS:			
DA Form 2166-9-3, Part IV, block e			

AR 623-3, Para 3-7b & Para 3-11

Unclassified

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

For the rater's assessment of the Rated NCO, he/she will select a box check representing the NCO's overall performance compared to other NCOs in the same grade whom he/she has rated during (in) their career.

In part IV, block j (DA 2166-9-2) and part IV, block f (DA 2166-9-3), comments are mandatory and should compare the performance of the rated NCO with his or her contemporaries during the evaluation period. Again, the rater should focus on the results achieved and the manner by which they were achieved.

There is no rater box check in the DA Form 2166-9-1 as that evaluation is developmental.

Performance measures definitions:

"EXCEEDED STANDARD" or "FAR EXCEEDED STANDARD" - the Rated NCO's demonstrated performance surpassed the required Army and organizational standards of leader competencies and attributes of the majority NCOs in that grade of the Rater's population. (The Rater will use the "EXCEEDED STANDARD" and "FAR EXCEEDED STANDARD" boxes to identify the upper third of NCOs for each rank, with further stratification of the upper third by use of the "FAR EXCEEDED STANDARD" box.)

"MET STANDARD" - the Rated NCO **successfully achieved** and maintained the required Army and organizational standards of leader competencies and attributes consistent with the majority of NCOs in that grade of the Rater's population

"DID NOT MEET STANDARD" - the Rated NCO failed to meet or maintain the required Army standards and organizational goals of leader competencies and attributes and performance was below the majority of NCOs in the Rater's population for that grade, and the Rated NCO's performance did not meet standards required of an Army NCO

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Rater Tendency Label

(applies to SSG-CSM/SGM)

- Rater Tendency Label – the value below each box equals the overall history of those ratings in this grade.
- Rater Tendency (i.e., rating history) will be imprinted on the NCOER and viewable within the Evaluation Entry System (EES) by the Rater's Rater and Senior Rater

RATER OVERALL PERFORMANCE				
i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate				
6 NCOs in this grade.				
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD	
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
j. COMMENTS	2	3	6	1 Total Ratings: 12
o #3 of 6 SFCs that I currently rate				
o executed every assignment and tasking with minimal guidance from the command				
o strong performance from an outstanding NCO				

AR 623-3, Para 3-11b

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The Rater Tendency Label is an HQDA electronically generated label which depicts the Rater's overall rating history in a particular grade. The example shows that the Rater rendered 12 ratings for Sergeant First Class. Of those 12, the Rater identified two (2) as "FAR EXCEEDED STANDARD", three (3) as "EXCEEDED STANDARD", six (6) as "MET STANDARD", and one (1) as "DID NOT MEET STANDARD". Because the Rater Tendency is unconstrained (i.e., no limitation), it is imperative that the Rater maintain a credible rating history. In the event the Rater Tendency reflects inflation (for example, out of 12 total ratings, eight (8) are either "FAR EXCEEDED STANDARD" or "EXCEEDED STANDARD"), then there is the potential for the Rater's credibility to be questioned when reviewed by a HQDA Centralized Selection Board.

An added feature within the Evaluation Entry System (EES) is the ability for the Rater's Rater and Senior Rater to view the Rater's Rater Tendency. This will allow the Rater's rating chain to provide oversight and guidance to ensure the Rater is managing his/her Rater Tendency in accordance with Army guidance.

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Rater Tendency Report

(applies to SSG-CSM/SGM)

- Rater Tendency Report – For NCOERs only, a documented rating history, compiled at HQDA; it displays the rater’s rating history by grade.
 - Raters do not maintain a “rating tendency” on NCOs in the rank of SGT and below.
 - Retired NCOs recalled to active duty are not included in the tendency population.
- HQDA makes this information and other administrative information available to the rater and senior rater using the “Rater Tendency” report.

Rater Tendency
4 items found, displaying

Role	Rank Rated	FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
RATER	SSG	1	2	4	0
RATER	SFC	2	3	6	1
RATER	MSG	1	1	4	0
RATER	SGM	0	1	0	0

AR 623-3, Para 3-7b & Para 3-11

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The rater tendency report tracks the rating history of each rater for NCOs of all components by rank (SSG thru CSM). For NCOs in applicable ranks, the rater’s tendency as reflected on the “Rater Tendency” report will—

- (a) Emphasize the importance of the rater’s role and responsibility to provide credible information to HQDA. This is one of the rater’s most critical actions. It affects decisions regarding the Army’s future leadership and has great impact on how the Army accomplishes its missions.
- (b) Emphasize the importance of a rater’s sequencing of NCOER submissions. Within a rater’s tendency, HQDA will always process NCOERs daily in the order received, based on the date and time of receipt, regardless of the “THRU” date of the NCOER.
- (c) Provide information to HQDA selection boards and the Army leadership on the rater’s tendency history as a means of disciplining the rating system. Evaluations received at HQDA will receive and display the rater’s tendency history on completed NCOERs.
- (d) Continue without interruption as the rater (in either a military or civilian status) moves from job to job.
- (e) Follow the rater as long as he or she is eligible to provide rater evaluations to Army NCOs in applicable grades.

And lastly, the rater tendency report will...

- (f) Be authorized for placement (first page summary) in the rater’s Army Military Human Resource Record (AMHRR) and may be updated annually or as necessary.

Raters profiles will be subject to senior rater submission timelines which may give creditability or take it away based upon submission date.

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Check on Learning

1. Can a Senior Rater's Rater serve as both Rater and Senior Rater for an NCO, if both rating officials (rater and senior rater) get relieved?
2. The Rater Tendency Report tracks the rating history of each Rater for NCOs of all components, by rank, for Sergeant through Command Sergeant Major. True or False?

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Check on Learning

1. Can a Senior Rater's Rater serve as both rater and senior rater for an NCO, if both rating officials (rater and senior rater) get relieved?

Answer: Yes.

2. True or False. The Rater Tendency Report tracks the rating history of each Rater for NCOs of all components, by rank, for Sergeant through Command Sergeant Major.

Answer: False, SSG through CSM.

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Senior Rater Four-Box-Check System

Policy Change:

Incorporates the Senior Rater four-box-check system and Senior Rater Profile Label for DA Form 2166-9-2 (SSG – 1SG/MSG) and DA Form 2166-9-3 (CSM/SGM).

Policy Clarification:

- In part V, block a, the Senior Rater will assess the Rated NCO's potential compared to all NCOs of the same rank:
 - MOST QUALIFIED – Identify NCOs with strong potential for promotion in the secondary zone; ahead of peers (Note: Senior Rater must have less than 50% of the ratings in a grade to retain the MOST QUALIFIED label.)
 - HIGHLY QUALIFIED – Identify NCOs with strong potential for promotion with peers.
 - QUALIFIED – Identify NCOs who demonstrate potential to be successful at the next level; promote if able.
 - NOT QUALIFIED – Identify NCOs who do not demonstrate potential for promotion; recommend separation.

The senior rater is primarily responsible for evaluating the NCO's potential and providing oversight of the evaluation process. The senior rater's overall assessment of an NCO's potential is represented by a box selected in a four-box check system which is tied to and calculates the constrained senior rater profile.

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

If the rated NCO's potential exceeds that of the majority of NCOs in the senior rater's population, and he/she demonstrates strong potential for promotion in the secondary zone, ahead of peers, the senior rater will select "MOST QUALIFIED". This rating should be reserved for the very best of the NCO Corps.

If the potential assessment is consistent with the majority of NCOs in that grade the senior rater will select "HIGHLY QUALIFIED". Highly Qualified will be the most common rating given.

If the rated NCO's potential is adequate, demonstrating potential to be successful at the next level (promote if able) the senior rater believes the rated NCO should be retained for further development, the senior rater will select "QUALIFIED".

And 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 promoted or retained, the senior rater will place an "X" in the "NOT QUALIFIED" box.

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Senior Rater Four-Box-Check System (cont.)

Senior Rater Profile Label

HQDA electronically generated label that reflects the senior rater's profile at the time the report processes.

PART V - SENIOR RATER OVERALL POTENTIAL	
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate <u>3</u> NCOs in this grade.	b. COMMENTS: SGM Smith's potential is among the best and easily in the top 15%. He is one of the finest NCOs with whom I have had the privilege to work with in my 25 years of service. Already demonstrates leadership and potential to serve at the nominative level. Select for CSM.
HQDA COMPARISON OF THE SENIOR RATER'S PROFILE AT THE TIME THIS REPORT PROCESSED	
HIGHLY QUALIFIED	
RNC0: SMITH, BOB SR: DODD, JANE DATE: 2016-02-01 TOTAL RATINGS: 3 RATINGS THIS NCO: 1	

Policy incorporates labels for the senior rater's assessment in Part V, block a. of the SSG-SGM grade plate forms. The label is electronically generated and reflects the senior rater's profile at the time the report processed, based on date of receipt.

The label displays the overall rating given by senior rater, the Rated NCO's name, senior rater's name, the date of receipt, total ratings of NCO's in that grade, and the number of times the senior rater rendered a report for that Rated NCO.

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Senior Rater's Managed Assessment

Policy Change:

Includes a new Senior Rater's managed assessment for DA Form 2166-9-2 (SSG – 1SG/MSG) and DA Form 2166-9-3 (CSM/SGM) reinvigorating the importance of the Senior Rater to the overall assessment process and reinforcing accountability.

Policy Clarification:

Senior Raters have a constrained profile which limits the Senior Rater's profile for MOST QUALIFIED ratings at less than 50%. For Senior Raters first establishing a profile (separated by grade), only one of the first four NCOERs received for processing at HQDA for any given grade may be rated as MOST QUALIFIED.

Senior raters have a constrained profile which limits the senior rater's profile for MOST QUALIFIED ratings at less than 50%. For senior raters first establishing a profile (separate by grade), only one of the first four NCOERs received for processing at HQDA for any given grade may be rated as MOST QUALIFIED. The Evaluation Entry System will be designed to not allow the senior rater to "MISFIRE: which simply means busting their profile. If a MOST QUALIFIED evaluation is printed and mailed to HQDA for processing after the senior rater was notified that his or her senior rater profile cannot support a MOST QUALIFIED rating, the evaluation will be processed and downgraded to HIGHLY QUALIFIED.

To ensure maximum rating flexibility when rating populations change or to preclude a 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 (49.9%).

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Broadening Assignment Recommendation

Policy Change:

Adds one broadening assignment recommendation for NCOs on DA Form 2166-9-1(SGT), DA Form 2166-9-2 (SSG – 1SG/MSG), and DA Form 2166-9-3 (CSM/SGM) to assist in talent management.

Policy Clarification:

The Senior Rater will identify two successive duty assignments and one broadening assignment for which the Rated NCO is best suited, focusing 3 to 5 years out.

Note. Two successive duty positions and one broadening position will be listed on DA Form 2166-9 series NCOERs – to include retirement and “Relief for Cause” NCOERs. An exception to this rule exists for NCOERs on which the Rater indicates DID NOT MEET STANDARD either by box check or content within the Rater Overall Performance and the Senior Rater indicates a rating of NOT QUALIFIED. On these NCOERs only, no successive duty and broadening assignments are required (DA Pam 623-3).

Senior raters will list two successive duty assignments and one broadening assignment for all NCOs (SGT thru CSM), focusing 3 to 5 years out. These recommendations assist in talent management to ensure the right type of Soldiers are optimally employed. Broadening assignments expand leader’s capabilities and understanding outside of their respective career management field such as recruiter, SHARP NCO, PLT SGT, EO, Drill Sgt, and ROTC instructor just to name a few.

See DA Pam 600-25 for CMF recommended broadening positions.

Note. Two successive duty positions and one broadening position will be listed on DA Form 2166-9 series NCOERs – to include retirement and “Relief for Cause” NCOERs. An exception to this rule exists for NCOERs on which content within the rater’s overall performance assessment (DA Form 2166-9-1) or box-check indicates DID NOT MET STANDARD and the Senior Rater indicates a rating of NOT QUALIFIED). On these NCOERs only, no successive duty and broadening assignment are required (the procedural guidance will be in DA Pam 623–3).

NEXT SLIDE



Performance and Potential Comments

Policy Change:

Clarifies policy when performance and potential comments may be entered by rating officials on evaluation forms.

Policy Clarification:

- For NCOERs, Raters will only comment on performance when writing assessments.
- Potential comments are reserved for Senior Raters on NCOERs.

In preparing their comments, rating officials will convey a precise but detailed evaluation to communicate a meaningful description of a Soldier's performance and potential (as applicable). In this manner, both HQDA selection boards and career managers are given the needed information on which to base a decision. Raters will only comment on the rated NCO's performance for that rating period and potential comments will be reserved for intermediate raters and senior raters. Potential comments are defined as the rating official's assessment for that rated NCO's potential for promotion, assignments/positions, and schools.

Note: A NCOER submitted to HRC with Rater comments addressing potential will result in the report being returned for correction.

**As an exception, rater's who assess officers on DA Form 67-10-3 and DA Form 67-10-4 OERs may comment on both performance and potential.*

NEXT SLIDE



Army Evaluation Principles

Policy Change:

Updates processing procedures for Army National Guard NCOERs.

Policy Clarification:

- After evaluation reports are completed by the rating officials and provided to the Rated NCO for signature, the forms are forwarded to HQDA (officer AERs and OERs and NCOERs).
- The State EPM office will continue to process NCO AERs. Disposition procedures for ARNG evaluation reports are shown in table H-2.

Currently, NCOERs for ARNG NCOs are forwarded to their designated State enlisted personnel manager (EPM) for processing. All ARNG NCOERs processed on DA Form 2166-9 will be forwarded to HQDA for processing; however, NCOERs processed on the DA Form 2166-8 after 1 September 2015 (with a Thru date prior to 1 September 2015) will be forwarded to the designated State EPM(s).

CDR's/Commandant's Inquiries and Administrative Appeals for ARNG reports on DA Form 2166-9 series and DA Form 1059 will be addressed to the rated NCO's State enlisted personnel manager (EPM). Substantive appeals for ARNG NCO DA Form 2166-9 series and enlisted DA Form 1059 will be addressed to the National Guard Bureau. Requests for nonrated time statements (for ARNG service only) will be sent to the rated Soldier's State (EPM).

**Disposition procedures for ARNG evaluation reports are shown in table H-2.*

NEXT SLIDE



Check on Learning

1. A senior rater may maintain up to 50% MOST QUALIFIED ratings. True or False?
2. Where are ARNG NCOERs on the DA Form 2166-8 going to be processed after 1 September?
3. Raters may assess performance and potential. True or False?
4. How many Successive and Broadening assignments must the Senior Rater provide?

Unclassified

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Check on Learning

1. True or False. A senior rater may maintain up to 50% MOST QUALIFIED ratings.

Answer: False, less than 50%.

2. Where are ARNG NCOERs on the DA Form 2166-8 going to be processed after 1 September?

Answer: The State EPM.

3. Raters may assess performance and potential. True or False?

Answer: False, may assess performance only.

4. How many Successive and Broadening assignments must the Senior Rater provide?

Answer: 2- Successive assignments and 1- Broadening assignment.



Mandatory Enclosures

Policy Change:

Mandates enclosures to DA Form 2166-9 series NCOERs must be in either a .pdf, .jpg, or .tiff format for acceptance as an authorized attachment to the completed evaluation.

Policy Clarification:

Enclosures submitted in other format types will not be accepted and will result in a delay of processing the evaluation.

Authorized enclosures:

- Supplementary review comments
- HQDA-approved exception to policy authorizing a rating official to evaluate
- Statement from person who directed "Relief for Cause" NCOER if other than rating official
- Thirty-day waiver approval for a "Relief for Cause" NCOER
- Approved DCS, G-1 waiver of compliance with AR 600-9
- Enclosures that are part of the electronic DA Form 2166-9

Typically, enclosures are not used for current NCOERs, unless an individual outside of the rating chain directs a relief, or for instances when the reviewer provides comments for an inconsistent rating on an NCOER.

With the processing of NCOERs in EES, all attachments must be in .pdf, .jpg, or .tiff format. Using any other format will delay the processing of NCOERs. EES will provide enclosures for the supplementary review and "Relief for Cause" report; however the rating officials may attach those enclosures separately, in the format of the examples giving in AR & DA Pam 623-3. Other authorized enclosures include: a thirty-day waiver approval for a "Relief for Cause" NCOER approved by the first general officer in the chain of command or an officer having general court-martial jurisdiction over the relieved NCO. The last authorized enclosure is an approved DCS, G-1 waiver of compliance with AR 600-9. No enclosures, other than those listed on the slide, will be attached to the NCOER when forwarded to HQDA.

NEXT SLIDE



Evaluation Report Redress Program

Policy Change:

Updates policy for newly received derogatory information to incorporate NCOERs.

Policy Clarification:

Rating officials will submit an addendum to a previously submitted OER, NCOER, or AER when they become aware of new information that would have resulted in a lower evaluation of the Rated Soldier (officer for OERs, noncommissioned officer for NCOERs, officer or NCO for AERs) after an OER, NCOER, or AER has been processed to the Rated Soldier's AMHRR and is a matter of record.

Like the OER, addendums will be allowed for NCOERs. The first CDR or commandant in the rated Soldier's current chain of command who receives new information about a rated Soldier will ensure that all members of the original rating chain for the OER, NCOER, or AER impacted by this new information are aware of it and are allowed (willing/able) to comment. If none of the original rating officials want to change or add to the original OER, NCOER, or AER, no addendum will be prepared.

Upon completion of this action, the CDR or commandant will refer a copy of the addendum to the rated Soldier for acknowledgment and the opportunity to submit comments before sending it (and any signed comments) to HQDA (see address in app F).

If the CDR or commandant is not a member of the original rating chain, their responsibility is only to coordinate the submission of the addendum. The CDR or commandant may not add comments to the addendum unless they were a member of the original rating chain.

If any of the rating officials have been reassigned, released from active duty, incapacitated, or are otherwise unable to complete their part of an addendum prior to an investigation involving the rated Soldier, the CDR or commandant will so indicate. If the rated Soldier cannot be contacted for review, the CDR or commandant will comment on the action taken and the inability to contact the rated Soldier before submitting the addendum to HQDA. Specific instructions for referral are detailed in paragraph 3-28.

**The referral instructions in paragraph 3-28 are for instructional purposes only as the referral process only applies to OERs and AERs.*

Note. For ARNG Soldiers, the addendum will be forwarded to HQDA through the State AG. No changes will be made to the original evaluation report in the rated Soldier's AMHRR, but the addendum will be appended to the OER, NCOER, or AER to which it has been prepared, along with any comments from the rated Soldier.)

NEXT SLIDE



Evaluation Report Redress Program

Policy Change:

Updates policy for when requesting Commander's or Commandant's inquiry.

Policy Clarification:

Requests for inquiry will occur no later than 60 days after the signature date of the Rated Soldier (or Senior Rater, if Rated Soldier's signature is omitted) for OERs and NCOERs, or authenticating official for AER-S.

Commanders and commandant may initiate inquiries to determine if there are serious irregularities or errors. Examples are invalid rating officials (i.e. unqualified or disqualified rating officials), inaccurate or untrue statements, and lack of objectivity or fairness by rating officials.

To ensure the availability of pertinent data and timely completion of an inquiry conducted after the evaluation in question has been accepted at HQDA for inclusion in the rated Soldier's OMPF, the inquiry will be conducted by either the CDR or commandant at the time the evaluation was rendered who is still in the command position, or by a subsequent CDR or commandant in the position. **Requests for inquiry will occur no later than 60 days after the signature date of the rated Soldier (or senior rater, if rated Soldier's signature is omitted) for OERs and NCOERs, or authenticating official for AER-S.** The results of the inquiry will be forwarded to HQDA not later than 120 days after the signature date of the senior rater (OER and NCOER) or authenticating official (AER-S).

NEXT SLIDE



Check on Learning

1. Enclosures to DA Form 2166-9 series NCOERs must be in .pdf or .tiff format only. True or False?
2. A rating official can submit an addendum for an NCOER while the evaluation is being processed at HQDA. True or False?
3. What is the NLT date a Commander's or Commandant's Inquiry can be requested once signed by Rated NCO?

Unclassified

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Check on Learning

1. Enclosures to DA Form 2166-9 series NCOERs must be in .pdf or .tiff format only.
True or False?

Answer: False, .pdf, .jpg, or .tiff format

2. A rating official can submit an addendum for an NCOER while the evaluation is being processed at HQDA. True or False?

Answer: False, an addendum may be submitted for an NCOER previously processed and posted to the Rated NCO's AMHRR.

3. What is the NLT date a commander's or commandant's inquiry can be requested once signed by Rated NCO?

Answer: Requests for inquiry will occur no later than 60 days after the signature date of the rated Soldier

NEXT SLIDE



Summary

- Army Regulation 623-3 Summary of Change
- Allied Armed Forces Rating Officials
- Senior Rater Grade Requirements
- Supplementary Reviewer
- Loss of a Rating Official or Rated Soldier
- Rater Assessment
- Rater Tendency Label / Rater Tendency Report
- Senior Rater Four-Box Check System
- Senior Rater's Managed Assessment
- Broadening Assignment Recommendation
- Mandatory Enclosures
- Evaluation Report Redress Program

Unclassified

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To recap Module 2 – Policy Updates, we covered the following key areas:

- Highlighted key changes to policy in the Summary of Change for AR 623-3
- Provided updates and clarification for Supplementary Reviewer, the Rater Tendency Report, Senior Rater Four-Box Check, and the Senior Rater's Managed Assessment

NEXT SLIDE



Questions



Unclassified

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Subject to your questions, that concludes my brief of Module 2.