

Module 2: Policy Updates

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.

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

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.

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

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.

Only in rare instances will an allied armed forces service member be authorized to serve as rater. It is possible for NCOs to have international service member in their rating chain while serving on NATO or joint assignments. The international service member may serve as the rater for an NCO; however, they cannot serve as senior raters. To qualify as a rater, the international service member 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.

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 SFC(P) 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 SGT(P) will continue to use DA Form 2166-9-1.

(Note: National Guard does not the "P" designator.)

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.

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 include:

- When the senior rater is in the rank of 2LT-1LT, WO1-CW2, or SFC-1SG/MSG. The supplementary reviewer will be senior to the senior rater and a uniformed Army-designated rating official in the rank of CSM/SGM, CW3-CW5, or CPT and above.
- The second instance in which a supplementary reviewer is required is when no uniformed Army-designated rating official in the rank of CSM/SGM, CW3-CW5, or CPT and above exists in the rating chain for the rated NCO.
- 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.

Based on the above situations, the purpose of the supplementary reviewer is to provide assistance/advice to the rating officials and proper oversight for senior raters who may be inexperienced and/or unfamiliar with managing a senior rater profile and writing narrative comments (as needed).

An additional, yet undocumented, review of completed NCOERs should be done by the senior NCO in the organization to ensure oversight of NCOs' performance. Lastly, the supplementary reviewer will be identified on the published rating scheme at the beginning of the evaluation period by the commander establishing the rating chain.

If for any reason a rating official is eliminated from the rating chain, i.e. death, declared missing, relieved of his/her position/duties, or becomes mentally or physically incapacitated to the extent that he/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/she will not be permitted to render evaluations for his/her subordinates. This rule

applies for evaluations that have 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/she feels qualified to rate and has served in the rating chain for 60 or more calendar days. If the 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/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)]

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) his/her 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 because 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

The rater tendency label 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 DA Centralized Selection Board and/or the rater's rating chain.

When selection board members view the Rater Overall Performance section, they will see the performance box check, the rater's tendency, and comments quantifying/qualifying the box check.

An additional 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.

It is also important to note that the rater's rater and senior rater will have visibility of the rater's tendency report. Leaders are responsible for developing, mentoring, and counseling raters in order to discourage inflation and protect a rater's credibility.

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/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.

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

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 select "NOT QUALIFIED."

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 the senior rater, the rated NCO's name, senior rater's name, the date of receipt, total ratings of NCOs in that grade, and the number of times the senior rater rendered a report for that rated NCO.

Senior raters have a constrained profile which limits the senior rater's profile for "MOST QUALIFIED" ratings to 24%. 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." The Evaluation Entry System (EES) will be designed to not allow the senior rater to "MISFIRE," which simply means exceeding their profile. If a "MOST QUALIFIED" evaluation is printed and mailed to HQDA for processing after the senior rater was notified that his/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 risk exceeding 24%.

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 leaders' 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 overall performance assessment (DA Form 2166-9-1) or box check indicates "DID NOT MEET 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).

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 senior raters. Potential comments are defined as the senior rater's assessment focused on the 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.

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 January 2016 (with a Thru date prior to 1 January 2016) 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.*

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 nonconcur and provides comments for an inconsistent rating on an NCOER (DA Form 2166-8 only).

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 given 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.

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.)

Commanders and commandants 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 AMHRR, 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).

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