DA Form 2166-9 Series

Module 3: NCOER Support Form & Grade Plate NCOERs

as of 10 July 2015
Agenda

- What is Changing on the NCOER
- NCOER Support Form
- Grade Plate NCOER
  - Part I – ADMINISTRATIVE DATA
  - Part II – AUTHENTICATION
  - Part III – DUTY DESCRIPTION
  - Parts IVa and IVb – APFT and HT / WT
- Army Leadership
- Performance Measures
  - “FAR EXCEEDED STANDARD”
  - “EXCEEDED STANDARD”
  - “MET STANDARD”
  - “DID NOT MEET STANDARD”
Agenda (cont.)

- Part IV – Rater Assessment
  - CHARACTER
  - Direct-level Report (SGT)
  - Organizational-level Report (SSG-1SG/MSG)
  - Strategic-level Report (CSM/SGM)

- Potential Measures
  - “MOST QUALIFIED”
  - “HIGHLY QUALIFIED”
  - “QUALIFIED”
  - “NOT QUALIFIED”

- Part V – Senior Rater Assessment
  - Direct-level Report (SGT)
  - Organizational- and Strategic-level Reports (SSG through CSM/SGM)
<table>
<thead>
<tr>
<th>CHARACTERISTIC</th>
<th>CURRENT NCOER (DA FORM 2166-8)</th>
<th>NEW NCOER (DA FORM 2166-9 SERIES)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCOER Support Form</td>
<td>• Based on the Leadership Dimensions of FM 22-100</td>
<td>• Aligns with Leadership Requirements Model of ADP 6-22</td>
</tr>
<tr>
<td></td>
<td>• Rater counsels initially and quarterly</td>
<td>• Rated NCO provides goals and expectations</td>
</tr>
<tr>
<td></td>
<td>• Senior rater – no requirement to counsel</td>
<td>• Rater counsels initially and quarterly</td>
</tr>
<tr>
<td></td>
<td>• Reviewer – no requirement to counsel; provides oversight/assists rating chain</td>
<td>• Senior rater should counsel twice during rating period</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Supplementary reviewer, as required</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Incorporates SSD/NCOES completion box for next grade</td>
</tr>
<tr>
<td>Form</td>
<td>One report for all NCOs</td>
<td>Three reports</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. SGT (Direct)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. SSG through 1SG/MSG (Organizational)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. CSM/SGM (Strategic)</td>
</tr>
<tr>
<td>Rating Chain Responsibilities</td>
<td>• Rater assesses performance and potential</td>
<td>• Rater assesses performance</td>
</tr>
<tr>
<td></td>
<td>• Senior rater assesses performance and potential</td>
<td>• Senior rater assesses potential</td>
</tr>
<tr>
<td></td>
<td>• Reviewer provides oversight/assists rating chain</td>
<td>• Supplementary reviewer, as required</td>
</tr>
<tr>
<td>Army Leadership Doctrine</td>
<td>Based on Leadership Dimensions of FM 22-100</td>
<td>Aligns with Leadership Requirements Model of ADP 6-22</td>
</tr>
<tr>
<td>Assessment Format</td>
<td>Bullet comments for all NCOs</td>
<td>• Rater</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Bullet comments for SGT through 1SG/MSG</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Narrative comments for CSM/SGM</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Senior rater – narrative comments for all NCOs</td>
</tr>
<tr>
<td>Senior Rater Assessment</td>
<td>Uncontrolled promotion-based</td>
<td>Controlled potential-based</td>
</tr>
<tr>
<td></td>
<td>“1” – Recommendation for immediate promotion</td>
<td>• “MOST QUALIFIED” (limited to 24%)</td>
</tr>
<tr>
<td></td>
<td>“2” – Strong recommendation for promotion</td>
<td>• “HIGHLY QUALIFIED”</td>
</tr>
<tr>
<td></td>
<td>“3” – Recommendation for promotion</td>
<td>• “QUALIFIED”</td>
</tr>
<tr>
<td></td>
<td>“4” – Should not be promoted at this time</td>
<td>• “NOT QUALIFIED”</td>
</tr>
<tr>
<td></td>
<td>“5” – Do not promote</td>
<td></td>
</tr>
<tr>
<td>Rating Chain Accountability</td>
<td>No accountability</td>
<td>Rater tendency and constrained senior rater profile for SSG through CSM/SGM</td>
</tr>
</tbody>
</table>
- Part I – SSD and NCOES requirement met for next grade

- Part II – Senior rater should counsel the rated NCO, at a minimum, twice during rating period

- Part II, block c – Supplementary reviewer, as required

- Part IV – Rated NCO provides goals and expectations
Part V – Attributes and Competencies (ADP 6-22)

- **Part VI – Senior rater provides comments.**
• Front page – same for all grade-plate forms

• Part II, block c – Supplementary reviewer, as required

• Part IV, blocks a and b – APFT and HT/WT
### Part I – Administrative Data

<table>
<thead>
<tr>
<th>PART I - ADMINISTRATIVE DATA</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. NAME (Last, First, Middle Initial)</td>
</tr>
<tr>
<td>f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND</td>
</tr>
<tr>
<td>j. PERIOD COVERED</td>
</tr>
<tr>
<td>FROM</td>
</tr>
</tbody>
</table>

- DOD ID Number will be the primary number utilized; SSN should only be used if DOD ID Number is not available.

- Must ensure the Unit Identification Code (UIC) is entered correctly to retrieve data in the Evaluation Reporting System (ERS)
Part II – Authentication

- DOD ID Number will be the primary number utilized; SSN should only be used if DOD ID Number is not available

- Use Enterprise email address

- If a supplementary review is not required, then the user will select “NO” in Part II, block c1 and leave the remaining section blank

- Rated NCO’s signature will verify the accuracy of administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and HT/WT entries in Part IV
### Part III – Duty Description

<table>
<thead>
<tr>
<th>Part III - Duty Description (Rater)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. PRINCIPAL DUTY TITLE</td>
</tr>
<tr>
<td>c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars)</td>
</tr>
<tr>
<td>d. AREAS OF SPECIAL EMPHASIS</td>
</tr>
<tr>
<td>e. APPOINTED DUTIES</td>
</tr>
</tbody>
</table>

Rater will annotate the following:
- Principal duty title
- Duty MOSC
- Daily duties and scope
- Areas of special emphasis
- Appointed duties
Part IVa and IVb – APFT and HT / WT

| PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater) |
|---|---|---|---|
| a. APFT Pass/Fail/Profile | PASS | Date: 20151001 | b. Height 69 | Weight 165 | Within Standards YES |

(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.)

Rater will enter the following:

- **APFT**
  - PASS
  - FAIL
  - PROFILE
  - PREGNANT POST PARTUM
  - NO APFT

- **HT / WT** (including compliance with AR 600-9)
Army Leadership

The process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization.

The Leadership Requirements Model establishes what leaders need to be, know and do. A core set of requirements informs leaders about expectations.

Leadership Requirements Model

**Attributes**

**Character**
- Army Values
- Empathy
- Warrior Ethos/Service Ethos
- Discipline

**Presence**
- Military and professional bearing
- Fitness
- Confidence
- Resilience

**Intelect**
- Mental agility
- Sound judgment
- Innovation
- Interpersonal tact
- Expertise

**Leads**
- Leads others
- Builds trust
- Extends influence beyond the chain of command
- Leads by example
- Communicates

**Develops**
- Creates a positive environment/
  - Fosters esprit de corps
- Prepares self
- Develops others
- Stewards the profession

**Achieves**
- Gets results

**Competencies**

- Oath to Constitution
- Subordinate to law & civilian authority
- Combat Power: Unifier and Multiplier
- Influence: Commitment, Compliance and Resistance
- Positive and harmful forms of leadership

**Levels of Leadership**
- Direct – Refine ability to apply competencies at a proficient level
- Organizational – Apply competencies to increasingly complex situations
- Strategic – Shape the military through change over extended time

**Special Conditions of Leadership**
- Formal – designated by rank or position, command is an example
- Informal – take initiative and apply special expertise when appropriate
- Collective – synergistic effects achieved with multiple leaders aligned by purpose
- Situational – actions adjusted to complex and uncertain environments

**Outcomes**

- Secured U.S. interests
- Mission success
- Sound decisions
- Expertly led organizations
- Stewardship of resources
- Stronger families
- Fit units
- Healthy climates
- Engaged Soldiers & Civilians
## Attributes – What a Leader Is

<table>
<thead>
<tr>
<th>Level</th>
<th>CHARACTER (Army Values, Empathy, Warrior Ethos / Service Ethos, Discipline, SHARP/EO/EEO)</th>
<th>PRESENCE (Military and professional bearing, Fitness, Confidence, Resilience)</th>
<th>INTELLECT (Mental agility, Sound judgment, Innovation, Interpersonal tact, Expertise)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct (SGT)</td>
<td>Creates a climate that embraces Army Values; character is aligned with the Army’s expectations</td>
<td>Demonstrates good presence and confidence across expected duties of the position.</td>
<td>Conceptual capabilities, interpersonal tact, and domain knowledge are effective for direct level</td>
</tr>
<tr>
<td>Organizational (SSG – 1SG / MSG)</td>
<td>Exhibits behaviors that are clear outward expression that aligns personal character with Army expectations</td>
<td>Demonstrates excellent presence, confidence and resilience in expected duties and unexpected situations.</td>
<td>Conceptual capabilities, interpersonal tact, and domain knowledge are effective for operations at battalion and below</td>
</tr>
<tr>
<td>Strategic (CSM / SGM)</td>
<td>Demonstrates a sense of responsibility for the Army profession; character is of absolute integrity</td>
<td>Astutely manages complexity and anticipates transitions at strategic level; viewed as champions of causes, diplomats and ambassadors of high level interests.</td>
<td>Excels at complex thinking and multiple perspectives; adept with the Army design method; broad and deep understanding of history, world situations, technological possibilities, and dynamics of organizations.</td>
</tr>
</tbody>
</table>

*Based on Leader Development Strategy for a 21st Century Army, 25 Nov 09*
## Competencies – What a Leader Does

<table>
<thead>
<tr>
<th>Level</th>
<th>LEADS</th>
<th>DEVELOPS</th>
<th>ACHIEVES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct</td>
<td>Demonstrated troop leading procedures and employment of TTPs relevant to their unit.</td>
<td>Builds environment of teams and teamwork.</td>
<td>Directs and prioritizes tasks for Squad level and below.</td>
</tr>
<tr>
<td>(SGT)</td>
<td>Demonstrated competence in resolving complex situations.</td>
<td>Proactive in developing others through individual coach, teach and mentor subordinates; accurately and fairly assess, identifies future leaders.</td>
<td>Demonstrates ability to lead through complexity and time, decentralized operations and ill-structured problems. Prioritizes limited resources to accomplish mission.</td>
</tr>
<tr>
<td>Organizational</td>
<td>Sets vision for operational and strategic level operations.</td>
<td>Creates systems and adopts policies supporting professional and personal growth across the organization. Stewards the Army’s interest in caring for and managing people and other resources.</td>
<td>Demonstrates ability to develop and describe broad vision and framework. Organizes, resources, integrates and aligns efforts among organizations to achieve mission goals.</td>
</tr>
<tr>
<td>(SSG – 1SG / MSG)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic</td>
<td>Sets vision for operational and strategic level operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(CSM / SGM)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Based on Leader Development Strategy for a 21st Century Army, 25 Nov 09*
## Performance Measures

### Organizational- and Strategic-level (SSG through CSM/SGM)

<table>
<thead>
<tr>
<th>FAR EXCEEDED STANDARD</th>
<th>EXCEEDED STANDARD</th>
<th>MET STANDARD</th>
<th>DID NOT MEET STANDARD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and his/her Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; demonstrated by the best of the upper third of NCOs of the same grade.</td>
<td>Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and his/her Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, typically demonstrated by the upper third of NCOs of the same grade.</td>
<td>Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.</td>
<td>Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.</td>
</tr>
</tbody>
</table>
FAR EXCEEDED STANDARD

Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and his/her Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; demonstrated by the best of the upper third of NCOs of the same grade.

- placed 1st of 23 teams in the recent LTG David E. Grange Jr. Best Ranger Competition
- nominated and selected over 11 senior NCOs to serve as the Army Corrections Command Operations Sergeant
- selected as the Secretary of the Army Career Counselor of the Year; incomparable retention knowledge
- expertly led his/her SGLs to earn an Institute of Excellence rating within eight months of arrival
- selected by Corps/Division G-1 as the best Brigade S-1 within area of responsibility
EXCEEDED STANDARD

Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and his/her Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, typically demonstrated by the upper third of NCOs of the same grade.

- mentored two squad members to be inducted into the Sergeant Audie Murphy Club
- graduated from M1A2/MGS/Bradley Master Gunner’s Course
- scored 2+/2+ on the Defense Language Proficiency Test (DLPT); surpassed Army standard in a Category IV language
- recognized with the Military Outstanding Volunteer Service Medal for volunteering over 100 hours with local community
- selected over eight seniors and 15 peers by the Deputy Commanding General to serve as Master Driver
**MET STANDARD**

*(applies to all Grade Plate NCOERs)*

**MET STANDARD**

Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and typically demonstrated by a majority of NCOs of the same grade.

- o established a workplace environment and overall command climate that fostered dignity and respect for all team members
- o scored 263 on last APFT helping company to achieve a 250 average
- o assisted in the weapons qualification of 200 Soldiers throughout the battalion
- o developed a strong priority work plan and anticipated constant change; successfully completed all missions
- o developed several SOPs that were effectively used by Soldiers for accomplishment of daily missions
DID NOT MEET STANDARD

Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on the mission, their Soldiers, the unit, and the Army.

- o failed to consistently adhere to rules, regulations, or standard operating procedures
- o demonstrated no concern for security and accountability of sensitive items
- o displayed meager enthusiasm and optimism; his/her actions discouraged others to develop and reach their full potential
- o failed to maintain accountability of Soldiers under his supervision; fabricated status reports
- o declined to address subordinate’s request for assistance with personal issues
Part IV – CHARACTER

- Raters must assess the rated NCO’s performance in fostering a climate of dignity and respect and adhering to the requirements of the SHARP Program.

- Narrative comments will be entered for Part IV, block c on DA Form 2166-9-3 (CSM/SGM).

<table>
<thead>
<tr>
<th>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.)</th>
<th>COMMENTS:</th>
</tr>
</thead>
<tbody>
<tr>
<td>MET STANDARD</td>
<td>DID NOT MEET STANDARD</td>
</tr>
</tbody>
</table>

Up to 8 lines of text for each field in Part IV, blocks c through h (ex. Three two-line bullets with a one-line space between them.)
Part IV – Rater Assessment (SGT)

- Rater assesses performance using a 2-box scale; focused on technical proficiency and is developmental in nature
  - “MET STANDARD”
  - “DID NOT MEET STANDARD”

- Rater – bullet comment format
Part IV – Rater Assessment (SSG-1SG/MSG)

- Rater assesses performance using a 4-box scale; focused on organizational systems and processes
  - “FAR EXCEEDED STANDARD”
  - “EXCEEDED STANDARD”
  - “MET STANDARD”
  - “DID NOT MEET STANDARD”

- Rater – bullet comment format

- Unconstrained rater overall performance assessment

**Notes:**

- Up to 8 lines of text (bullet format) for each field in Part IV, blocks c through h

- Up to 5 lines of text (bullet format)

**Comments:**
- Displayed the ability to analyze available information and operate within the commander’s intent during platoon STX
- Improved efficiency of company operations with his/her knowledge, increasing timeliness of submissions of personnel actions
- Provided seamless in-transit visibility for over 1,700 convoys comprised of over 60,000 pieces of cargo
Part IV – Rater Assessment (CSM/SGM)

- Performance assessment focused on large organizations and strategic initiatives
- Narrative must address each attribute and competency
- Unconstrained rater overall performance assessment

Provide narrative comments which demonstrates performance regarding organizational/strategic competencies (e.g., 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 geo-political 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. Intact 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 strives the profession. Achieves as it relates to get results.

UP TO 5 LINES OF TEXT (NARRATIVE FORMAT)

Up to 5 lines of text (narrative format)

UP TO 4 LINES OF TEXT (NARRATIVE FORMAT)

Up to 4 lines of text (narrative format)
Potential Measures

<table>
<thead>
<tr>
<th>PART V - SENIOR RATER OVERALL POTENTIAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
<tr>
<td>☐ MOST QUALIFIED (limited to 24%)</td>
</tr>
<tr>
<td>☐ HIGHLY QUALIFIED</td>
</tr>
<tr>
<td>☐ QUALIFIED</td>
</tr>
<tr>
<td>☐ NOT QUALIFIED</td>
</tr>
<tr>
<td>b. COMMENTS:</td>
</tr>
</tbody>
</table>

*Limited to 24%*

- **“MOST QUALIFIED”** – identify NCOs with strong potential for promotion in the secondary zone; ahead of peers (Note: Senior raters will manage a constrained profile up to 24% for the top block or “MOST QUALIFIED”.)

- **“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
### Part V – Senior Rater Assessment (SGT)

**Senior rater assessment of rated NCO’s overall potential compared to NCOs in same grade**

- Unconstrained box check
- Narrative comment format

<table>
<thead>
<tr>
<th>PART V - SENIOR RATER OVERALL POTENTIAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>b. COMMENTS:</td>
</tr>
<tr>
<td>c. List two successive assignments and one broadening assignment (3-5 years).</td>
</tr>
<tr>
<td>Successive Assignment: 1) Duty title only</td>
</tr>
<tr>
<td>Broadening Assignment: Duty title only</td>
</tr>
</tbody>
</table>
Part V – Senior Rater Assessment (SSG-CSM/SGM)

- Senior rater assessment of rated NCO’s overall potential compared to NCOs in same grade
- Constrained senior rater profile; limited to 24% of total reports
- Only one of the first four NCOERs may be rated as “MOST QUALIFIED” (“Silver bullet”)
- Narrative comment format
Summary

- What is Changing on the NCOER
- NCOER Support Form
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  - Part I – ADMINISTRATIVE DATA
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  - “EXCEEDED STANDARD”
  - “MET STANDARD”
  - “DID NOT MEET STANDARD”
Summary (cont.)

- Part IV – Rater Assessment
  - CHARACTER
  - Direct-level Report (SGT)
  - Organizational-level Report (SSG-1SG/MSG)
  - Strategic-level Report (CSM/SGM)

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  - “MOST QUALIFIED”
  - “HIGHLY QUALIFIED”
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  - Organizational- and Strategic-level Reports (SSG through CSM/SGM)
Questions