



DEPARTMENT OF THE ARMY  
1<sup>ST</sup> BATTALION, 1<sup>ST</sup> AIR DEFENSE ARTILLERY  
UNIT 5140  
APO AP 96368

APMC-PB

18 June 09

MEMORANDUM FOR All personnel assigned, attached or OPCON to 1-1 ADA, Unit 5140,  
APO AP 96368

SUBJECT: Policy Memorandum #6 – Counseling and Evaluation Reporting (OERs / NCOERs)

1. References:

- a. AR 623-3, Evaluation Reporting System, 10 August 2007.
- b. FM 6-22, Army Leadership, 12 October 2006.

2. Purpose: To establish and provide administrative guidance on this unit's counseling program and preparation of Evaluation Reports (OER / NCOER).

3. Applicability: This policy applies to all personnel assigned, attached, or OPCON to 1-1 ADA. This policy constitutes a direct order and violations are punishable under the Uniform Code of Military justice (UCMJ).

4. Policy: Leaders are responsible for ensuring their subordinates receive their initial counseling statement within 30 days after arrival to the unit and to adhere to the tenets outlined below.

5. Counseling:

a. Leaders in outstanding units make good performance counseling a natural habit. Soldiers want to know where they stand, and will do their utmost to support a leader who takes the time to teach and coach them. Informal counseling must be a daily part of a leader's life. It involves the immediate correction of errors, timely recognition for good work, and sharing the wisdom of experience. It may not seem like "counseling" at all. In fact, when done in a teaching-coaching atmosphere, it is our most effective leadership tool.

b. Formal counseling is scheduled and recorded, and marks the beginning or end of an assignment or rating period. Leaders use it to address their subordinates past performance, to set goals for the future, and to officially record that the counseling took place. Formal counseling is a mandatory part of the OER and NCOER systems. The responsibility of preparing personnel evaluations is a complex and difficult job when we take into consideration its importance. Many personnel actions, including promotions and assignments are influenced by evaluation reports. Army leaders must possess, develop, and refine their ability to evaluate subordinates accurately and objectively. It is essential that officers and NCOs take a positive approach to counseling and comply with this policy.

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c. Besides the counseling requirements of the OER and NCOER system, all leaders in this battalion will adhere to the following:

(1) **Once every month, each Leader will conduct a formal counseling session with each of his immediate subordinates.** This will consist of a review of excellent past performance, discussion of any problems which may be interfering with excellent performance, and setting or adjusting goals for the future. Counseling should be guided to improve Soldier's performance of duty and their potential for promotion in the Army. Counseling will include, but is not limited to: performance of duties, responsibilities, physical fitness, promotion, conduct on and off duty, education, etc.

(2) Commanders will conduct formal counseling on a monthly basis with each Soldier on the unit's overweight program, APFT failures, and those being considered for adverse action.

(3) Oak Tree Counseling will be used by Leaders to ensure Soldiers are trained and adhere to applicable safety and discipline standards.

(4) Counseling will be a special subject of inspection during battalion command inspections.

(5) CSM will periodically inspect unit's counseling files.

d. This policy does not prohibit counseling more often than monthly. Positive and negative aspects of duty performance should be noted as they occur. They should also be completed in a timely manner to ensure fairness.

e. Ensure when giving a negative counseling some form of corrective training should be initiated. You need to show you attempted to fix the Soldier's problem (i.e., RBI). If the conduct or duty performance warrants a derogatory counseling statement, use DA Form 4856, with the Chapter & Honorable Benefits information printed in block #9.

## 6. Evaluations Reporting:

### a. Responsibilities:

#### (1) Commander:

(a) Ensure unit rating scheme is published. Ensures each rated Soldier is aware of their rating scheme. Resolve problems with rating scheme, if required. Rating scheme will be posted on unit bulletin board.

(b) Ensure rating officials are fully qualified to meet their responsibilities and that each rated Soldier knows their responsibilities to counsel, coach, and evaluate.

(c) Ensure rating officials give timely counseling to subordinates on professionalism and job performance. Counseling must include quarterly, monthly, and initial counseling.

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(d) Ensure rated Soldiers are provided a copy of their completed evaluation report, prior to departing the unit.

(e) Ensure rated Soldiers receive assistance, if they request it, in preparing and submitting appeals.

(f) Conduct command inquiries into reports that appear to be illegal, unjust, or otherwise in violation of AR 623-3.

(g) OERs are due to the Senior Rater by the 15<sup>th</sup> of the month in which the rating period ends. Ensure the unit is in compliance with all provisions of AR 623-3.

(2) First Sergeant:

(a) Ensure the unit rating scheme is updated as required. Forward to the Commander for review. Ensure the unit Rating Scheme is posted on the unit bulletin board.

(b) Ensure reports are prepared in a timely manner and accurately reflect the duty performance of the rated Soldier. NCOERs are due to the Battalion S-1 by the 15<sup>th</sup> of the month in which the rating period ends.

b. Evaluation Reports provide the rated Soldiers formal recognition for performance of duty, measurement of professional values and personal traits, and along with the counseling checklists/record are the basis for performance counseling by rating officials.

c. All leaders (platoon sergeant and above, must be counseled on duty position and responsibilities within the first 5 days of each rating period and at least quarterly thereafter. Performance counseling must be annotated on DA Form 2166-8-1, DA Form 4856, or DA 67-9-1 quarterly.

**d. All raters, senior raters, and reviewers will become familiar with the provisions of AR 623-3 on their responsibilities.**

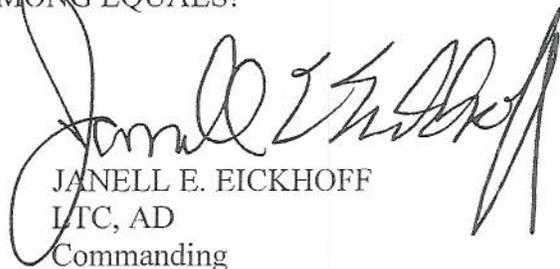
7. This policy letter is in effect until cancelled or superseded.

8. Proponent. The Battalion S1 is the staff proponent for this policy.

“FIRST AMONG EQUALS!”



FINIS A. DODSON  
CSM, USA  
Battalion Command Sergeant Major



JANELL E. EICKHOFF  
LTC, AD  
Commanding