### NOAA Commissioned Corps Officer Evaluation System

Commander Brad Kearse, NOAA Chief, Officer Career Development Management Commissioned Personnel Center



# Outline

- Officer Career Development Division (OCDM)
- Why a New System?
- What is the OES?
- The Officer Evaluation Report (OER)
- The Officer Support Form (OSF)
- Appeal Process
- Tips



### Officer Career Management Division

- Officer Career Counseling
  - Assignments, Training, Continuing Education (PUT and FUT) and Developmental Opportunities
- Oversee the Officer Evaluation System
- Second Level OER Quality Review
- OER Consultation
- OES Training
- Questions to CDR Kearse

- 301-713-3444 or william.kearse@noaa.gov



# **New Evaluation System**

- The current Fitness Report for Commissioned Officers, NOAA Form 56-6, will be replaced by the NOAA Officer Evaluation Report (OER), NOAA Form 56-6A.
- The Director, NOAA Corps requested the Commissioned Personnel Center to review the current Officer Evaluation System and provide recommendations regarding the status of the current system and options for improvement or replacement.
- The OER was originally designed by the United States Coast Guard has been modified by the NOAA Corps Commissioned Personnel Center to meet the needs of the NOAA Corps.
- Provides a better breakdown of Officer's performance and character standards.



# NOAA Corps Evaluation System

- Provide information for important personnel management decisions (i.e., promotions, assignments and career development).
- Set performance and character standards to evaluate each officer.
- Prescribe organizational values by which each NOAA Corps officer can be described.
- Provide a means of feedback to determine how well an officer is measuring up to the standards.
- Ensure maintenance of NOAA Values and Standards.



# The Old and New System

### Old System

- Job Ability
- Job Accomplishment
- •Leadership
- Judgment
- Initiative
- Reliability
- •Human Relations
- •Loyalty
- •Self Expression
- •Officer Bearing

### New System

#### **Performance Of Duties**

- Planning And Preparedness
- Using Resources
- Results/Effectiveness
- Adaptability
- Professional Competence

#### **Communication Skills**

- Speaking And Listening
- Writing

#### **Personal And Professional Qualities**

- Initiative
- Judgment
- Responsibility
- Professional Presence
- Health And Well Being

**HONOR** 

#### COMMITMENT



# Performance Dimension and Standard

### Old System

CATEGORY	FACTORS TO BE CONSIDERED IN EVALUATING THE OFFICER BEING RATED	"X" one box for each rating category							
		Outstanding	Excellent	Good	Marginally Satisfactory	Poor			
Judgement	Ability to develop correct and logical conclusions. Ability to act rationally and with dispatch within limits of authority assigned.	$\times$							

#### New System

b. JUDGMENT: Ability to make sound decisions and provide valid recommendations by using facts, experience, common		Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations.		Demonstrated analytical thought and common sense in making decisions. Used facts, data , and experience, and considered the impact of alternatives. Weighed risk, cost and time considerations. Made sound decisions promptly with the best		Combined keen analytical thought and insight to make appropriate decisions. Focused on the key issues and the most relevant information, even in complex situations. Did the right thing at the right time. Actions indicated awareness of impact and implications		
sense, and analytical				available information.		of decisions on others.		
thought.	1	2	3	4	5	6	7	NO



# **Officer Evaluation System**

- Form NOAA Form 56-6A. Key elements of the form are as follows:
  - <u>Performance Dimensions</u>. The items on which the NOAA
     Corps evaluates its officers (e.g., writing, judgment, etc.).
  - <u>Evaluation Areas</u>. The four major performance categories into which all performance dimensions are grouped (e.g., Performance of Duties, Leadership Skills, etc.).
  - Performance Standards. The prescribed expectation levels within each performance dimension. The standards are written to provide a common frame of reference among rating officials to which an officer's observed performance and qualities may be compared. Each dimension has three separate written standards of performance:



# **Officer Evaluation System**

- **NOAA Form 56-6B.** The worksheet used to describe duties, establish goals, document accomplishments, and facilitate performance feedback.
- <u>**Rating Chain.</u>** The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER.</u>
- <u>Performance Feedback</u>. No specific form or forum is prescribed for performance feedback except for ensigns and lieutenants (junior grade). Performance feedback occurs whenever a subordinate receives advice or observations related to their performance in any evaluation area.
- Aligns with Organizational Values.



# Honor

# Respect

# Commitment

HONOR





### Core values serve as our road map and set the standard for our behavior. They serve to remind us of the importance of the profession we have chosen, the oath we took, and the demands placed upon us as members of a uniformed service.





# Honor

#### Abide by an uncompromising code of integrity

We will conduct ourselves in the highest ethical manner in all relationships. We will take responsibility for our actions and be accountable for our professional and personal behavior. We will do what is right at all times.

HONOR

**RESPECT** 

COMMITMENT

12





#### Commit to treat each individual with human dignity

#### We will value inclusiveness and tolerance, respecting diversity of expression while maintaining unity of purpose. We will cultivate an environment where all can excel.



**RESPECT** 

COMMITMENT



#### Commit and dedicate ourselves to the nation and NOAA

We will serve our nation effectively and efficiently with knowledge, skill, loyalty, and perseverance. We will be mindful of the resources entrusted to us and will ensure they are used in an honest, careful, and efficient

way.





# **Officer Evaluation Report**

- Contains both marks and comments. The numerical marks reflect the rater's evaluation of how well an officer's performance measures up to the standards.
- To distinguish among reviewed officers, supervisors and reporting officers should give board members the information they need to make the best decisions by assigning numbers with specific narrative support and making appropriate recommendations.



# OER Submission Schedule

(End of Reporting Period)

- CAPT > 30 APRIL
- CDR ➤ 31 MARCH
- LCDR >> 30 APRIL

- ENS >> 31 MARCH / 30 SEP



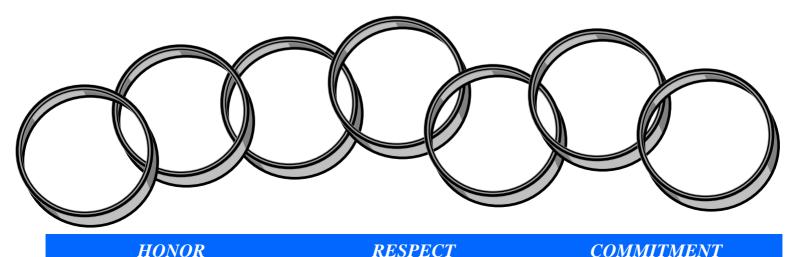
### This year only the due date will be February 15, 2006 for all OERs

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# **OER Rating Chain**

 The rating chain provides the assessment of an officer's performance and value to the NOAA Corps through a system of multiple evaluators and reviewers who present independent views and ensure accuracy and timeliness or reporting.





# The Rating Chain

REPORTED ON OFFICER (ROO) Subject of the OER Input due 21 days before the "End of Period."

### SUPERVISOR

Interfaces with ROO Frequently Provides Majority of Direction Input to RO 10 Days after the "End of Period."

#### **REPORTING OFFICER (RO)**

Supervisor's Supervisor Forward to Reviewer within 30 days of "End of Period."

#### REVIEWER

**RO's Supervisors** 

Expedites the reviewed report in a reasonable time to permit the OER Administrator to ensure the OER is received by CPC 45 days after the end of

the reporting period.

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### The Rating Chain For 2005 Rating Period Only

**REPORTED ON OFFICER (ROO)** 

By December 9, 2005 Subject of the OER Input due 21 days before the "End of Period."

> SUPERVISOR *By January 10, 2006* Interfaces with ROO Frequently Provides Majority of Direction Input to RO 10 Days after the "End of Period."

**By January 30, 2006** REPORTING OFFICER (RO)

Supervisor's Supervisor

Forward to Reviewer within 30 days of "End of Period."

REVIEWER

By February 15, 2006

Expedites the reviewed report in a reasonable time to permit the OER Administrator to ensure the OER is received by CPC 45 days after the end of the reporting period

**RO's Supervisors** 

the reporting period.

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# **Reported-On Officer (ROO)**

- Educate the Supervisor and Reporting Officer on the Officer Evaluation System.
- As an evaluated officer, your responsibilities include:
  - Managing performance.
  - Learning the rating chain.
  - Initiating beginning and end-of-period meetings with supervisors.
- Seeking performance feedback during the period.
- Preparing OER section 1 and 14
  - Submit OER with list of significant achievements or performance aspects which occurred during the period to your supervisor at least 21 days before the end of the reporting period.



# ROO

- Notifying Director, CPC by written communication if a copy of your completed OER has not been received 90 days after the end of the reporting period.
- Providing OER instructions to your civilian evaluation official.





### **Supervisors Responsibilities**

- The key to the officer evaluation system is the supervisor who must hold an officer accountable in meeting officer evaluation system requirements.
- The supervisor's responsibilities include:
  - Discussing duties and areas of emphasis with the officer.
  - Noting important performance aspects.
  - Providing performance feedback throughout the period.
- Preparing the supervisor's OER sections 3 through 6 and ensuring supporting comments in the OER to substantiate assigned marks.



### **Supervisors Responsibilities**

- Initiating an OER if the officer is unavailable, unable, or unwilling to perform in a timely manner.
- Provides the new supervisor with a draft or OER sections (3-6) when the supervisor changes during a reporting period.
- Sending the reporting officer not later than 10 days after the end of the reporting period.
- Responsible for Sections 2-5.



### Reporting Officer (RO) Responsibilities

- The Reporting Officer is normally the supervisor of the supervisor.
- Evaluate ROO Based on Direct Observation and Input from the Supervisor
- Preparing Reporting Officer section of the OER Complete Page Three of OER
  - Block 7: Concur with Supervisor
  - Provide Comparison Scale Mark
  - Leadership Ability / Overall Potential



### **Reporting Officer Responsibilities**

- Returning OERs to the supervisor if:
  - the evaluation appears inconsistent with actual performance.
  - narrative comments do not substantiate numerical marks.
- Initiating an OER of the officer and/or supervisor are unavailable, unable, or unwilling to perform promptly.
- Sending OER to the reviewer within 30 days after the end of the reporting period.



# **RO Responsibilities**

- Reporting Officer CANNOT:
  - Direct a supervisor specifically to raise or lower a mark or add or delete a comment.



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# **Reviewing Officer**

- The Reviewer is normally the supervisor of the Reporting officer.
- Only NOAA Corps officers or NOAA SES member, may serve as Reviewer.
- The Reviewer of a Captain's OER must be a flag officer or NOAA SES member.



### Reviewing Officers Responsibilities

- Checking the OER for:
  - a reasonably consistent picture of the officer's performance and potential.
  - obvious errors and omissions
  - inconsistencies between numerical evaluations and written comments and failure to comply with instructions
- Returning OERs for correction or errors, omissions, or inconsistencies
- Add comments, as desired.
- Holding Supervisors and Reporting Officers accountable
- Sending the OER to the OER Administrator in time to allow receipt by Director, Commissioned Personnel Center no later than 45 days after the end of the reporting period.



# **Occasion of Report**

- Annual/Semi-Annual
- Departure of ROO (Transfer)
- Change of RO
- Promotion (CAPT)
- Continuity Purposes Only (Retirement)
- Concurrent (TAD >60 days)
- Duty Under Instruction (DUINS)
- Special (Performance Change)



## Section 1 Administrative Data

U.S. DEPARTMENT OF COMMERCE National Oceanic and Atmospheric Administration NOAA FORM 56-6A (Rev.01-05) OFFICER EVALUATION REPORT (OER)							Validation:		
1. ADMINISTRATIVE DATA									
a. Last Name, First Name, Middle Initial	ED BY ROO	b. SSN <u>SSN</u> C. GRA		NDE	d. DATE OF RANK				
e. UNIT (Name and Location)	RECT DATES	f. OPFAC	g. DAYS NOT OBSERVED 1. LV : 2. OTHER :			h. DATE REPORTED			
TO	OR REPORT (Circle only one) annual 2. Detachment/Change of Reporting Officer of Officer 4. Promotion	k. EXCEPTION REPORT 1. Special 2. Concurrent				I. DATE SUBMITTED			
2. DESCRIPTION OF DUTIES: ATTACHMENTS:									



# Section 2 Description of Duties

U.S. DEPARTMENT OF COMMERCE National Oceanic and Atmospheric Administration NOAA FORM 56-6A (Rev.01-05)		NOAA COMMISSIONED CORPS OFFICER EVALUATION REPORT (OER)					Validation:		
1. ADMINISTRATIVE DATA		(YYYY/MM/DD)							
a. Last Name, First Name, Middle Initial	b. SSN c. GR			ADE	d. DATE OF RANK				
e. UNIT (Name and Location)		f. OPFAC	g. DAYS NOT OBSERVED 1. LV : 2. OTHER :		h. DATE REPORTED				
i. PERIOD OF REPORT (YYYY/MM/DD) TO 3.	9r	k. EXCEPTION REF 1. Special 2. Concurrent	PORT		I. DATE SUBMITTED				
2. DESCRIPTION OF DUTIES: ATTACHMENTS: COMPLETED BY SUPERVISOR Must Include: PRIMARY & Collateral Duties									



# Section 2 Description of Duties

Uniformed Services Human Resource Policy Specialist: Responsible for drafting, implementing, and educating field personnel on human resource policies. Policy Administrator: Maintains, updates, and coordinates changes to policies; oversees publication budget of approx \$20K. Policy specialist for support of dependents, indebtedness, officer assignments, leave and liberty policies. Commissioned Personnel Center FOIA/Congressional Officer. Record Examination Board Coordinator.

Attachment: NOAA Achievement Medal dtd 2005 JAN 15



### Section 2 Attachments

- Personal Awards Only
  - NOAA Corps and Other Uniformed Services
  - For Period in Which Received Even If cites performance outside of period
  - Certificate and Citation Requested
- Letters of Reprimand





# Sections 3-8 Supervisor / RO

- Compares ROO's performance to standards.
- Assigns "Mark to Block" that <u>Best</u> describes performance and qualities.
- Paints a verbal picture that compares reasonably with the one described by the standard.
- Provides narrative sentences for assigned marks.
- Cites specific examples.



# Sections 3-8 Supervisor/Reporting Officer

- Supervisor
  - Section 3 Performance of Duties
  - Section 4 Communication Skills
  - Section 5 Leadership Skills
  - Section 6 Signature
- Reporting Officer
  - Section 7 Comments (Amplify Supervisor Evaluation)
  - Section 8 Personal and Professional Qualities



### Comments

 Don't write, for example, "She is a good manager" when actually "She set up an inventory control system which kept similar parts in the same form...competed project 2 weeks early; \$2K under budget."



#### Comments

- Begin "bullets" with action verbs, e.g., conducted, supervised, developed, etc.
   Readers need to know what the officer did, how it was significant, and its impact on the command or NOAA.
- Use common contractions, abbreviations, and acronyms where appropriate; strive for clarity and brevity.



#### Acronyms

Use Widely Known NOAA Acronyms Only

 MPIC, NMFS, NOS, MOA, MOP, AOC, OOD,
 FOO, CO, XO, OAR, USCG, PPBES, AA, DAA,
 DUS...





#### Framing an OER Comment

- How Well It Was Done
- Concise Accomplishment
- Demonstrated Impact ....
- "Resulting in \_\_\_\_"





# How Well It Was Done

<u>Vague</u>: Demonstrated good engineering skills.

<u>Specific</u>: **Superb oversight of 2 main diesel engine (MDE) rebuilds;** unique teaming of MOC & unit engineers shortened project timeline by one month, primary reason unit able to meet NOAA deployment schedule.



# **Concise Accomplishment**

<u>Vague</u>: Demonstrated good engineering skills.

<u>Specific</u>: Superb oversight of 2 main diesel engine (MDE) rebuilds; **unique teaming of MOC & unit engineers shortened project timeline by one month,** primary reason unit able to meet NOAA deployment schedule.





#### **Demonstrated Impact**

<u>Vague</u>: Demonstrated good engineering skills.

<u>Specific</u>: Superb oversight of 2 main diesel engine (MDE) rebuilds; unique teaming of MOC & unit engineers shortened project timeline by one month, primary reason unit able to meet NOAA deployment schedule.



## **Prohibited Comments**

- Medical / Psychological Conditions
  - Recovering from knee surgery..
- Reference to Ongoing Investigation
- Family or Marital Status
  - Despite being a geo-bachelor, LT Smith excelled...
- Performance Outside of Period



# **Third Party Restrictions**

- Third party by Color/Race/Ethnicity:
  - Recognized minority employee...
  - Authorized: Praised civilian employee
- Third party by Religion:
  - Restricted: Lead Catholic services while underway
  - Authorized: Lead religious services
- Third party by Gender:
  - Restricted: Best female pilot...
  - Authorized: Best pilot...





# Section 9 Comparison Scale

- ROO's ranking relative to <u>All Other Officers</u> of the same grade, RO has known.
- Performance could improve and ranking could decrease (move to left) from period to period.
- Comparison scales for O5 and below not linked to assigned marks in Sections 3-8.
- Comparison scales for O6 are linked to assigned marks in Sections 3-8.





#### Section 9 Comparison Scale

9.A. COMPARISON SCALE (FOR GRADES 01 to 02): Compare this officer with others of the same grade whom you have known in your career.								
Unsatisfactory	A qualified officer	One of the many competent professionals who form the majority of this grade.			An exceptional officer	A distinguished officer		
1	2	3	4	5	6	7		

9.B. COMPARISON SCALE (FOR GRADES 03 to 05): Compare this officer with others of the same grade whom you have known in your career.								
Performance unsatisfactory for grade or billet.	Marginal performer; limited potential.	Fair performer; recommended for increased responsibility. 3	Good performer; give tough, challenging assignments.	Excellent performer; give toughest most challenging leadership assignments 5	Strongly recommended for accelerated promotion. 6	Best officer of this grade		
1	2		4			7		

9.C. RATING SCALE. Considering the performance information in this report, I rate this Captain:								
Performance rarely up to par for a captain. Not suitable for most captain billets	Performance satisfactory, but limited in assignment potential	A steady, reliable performer. Capable of handling a variety of captain assignments	A good, solid captain. Skilled in management and leadership. Respected for views and ability to contribute to	Has flag potential. Should be given challenging assignments and consideration with peers.	Recommended for flag selection at a future board.	Recommended for flag selection at next board.		
1	2	3	NOAA and its work. 4	5	6	7		

**HONOR** 



#### Section 10 Potential

#### **CRITICAL AREA FOR BOARDS**

#### **MANDATORY COMMENTS**

 Ability to Assume Greater Leadership Roles and Responsibilities

- Assignments
- Promotion
   Recommendation
- Advanced Training Recommendation
- Special Skills



# **Potential Example**

• LT Smith constantly displays a high level of maturity, perseverance & dedication to duty. Attention to detail invaluable in his meticulous, timely & responsive actions to properly process wide complex policy issues affecting large portions of the NOAA. Couples outstanding professionalism w/personnel expertise; his leadership, pose, inter-personnel skills are extremely fine-tuned and well beyond expectations of a LT. Boundless energy & expertise; multi-project coordination & exceptional HR background management skills make him a ideal candidate for positions of higher responsibility. Highly recommended for promotion to LCDR & advanced education programs.



## **Potential Example**

 My best officer! His immense contributions to CPC and the NOAA Corps cannot be overstated, and the Service would be well served by placing him in the highest profile and most demanding jobs offered, I know he will excel. His most recent experience in the NOAA LCDP has prepared him well for advanced education & he has my highest recommendation for Naval War College. His selection as CO, Rude is well deserved, and he has my strongest recommendation for any position of higher responsibility such as CO, RB. He also has my highest recommendation for promotion to O-5 ahead of his peers.



# Sections 11, 12, and 13

- Reporting Officer Signature
- Report-On Officer Signature
- Reviewer Authentication/Comments/Signature





#### Officer Support Form (OSF) (Form 56-6B)

- The Officer Support Form is both a worksheet and a management tool designed to:
  - Delineate duties and responsibilities; identify areas to emphasize in this evaluation period and record changes in direction, including revised priorities and unexpected tasking that occurs during the evaluation period.
  - Record significant accomplishments or pertinent aspects of the officer's performance or qualities that occur during the reporting period.
  - File or collect information such as personal notes and official correspondence that contain information about the officer's performance.
  - Assist supervisors and officers by serving as the supervisor's basis for constructive performance feedback to the officer during the period and preparing the OER at the end of the evaluation period.



## Who Uses the OSF

 An OSF shall be used by supervisors of all officers in the grade of ensign and lieutenant (junior grade) and, when requested by the report-on officer; or when directed by any senior member of the rating chain.





## OSF

- The Officer Support Form is an effective performance feedback tool for both supervisor and report-on officer.
- The importance of one-on-one counseling as part of the Officer Evaluation System cannot be overemphasized.
- The officer's future performance depends largely on the supervisor's ability to help him or her develop.



# Encourage Use of the OSF

- The report-on officer should arrange an initial meeting with his/her supervisor.
- This conference is mandatory for ensigns and lieutenants (junior grade) and optional for all other ranks.
- Three distinct phases:
  - preparation
  - the meeting itself
  - following up afterward



## Flexibility

- Supervisors and reported-on officers are encouraged to be flexible in using the OSF as an aid in executing their duties.
- Either individual should file copies of correspondence, messages, work lists, reports, and even paper notes in the OSF to document performance because this evidence can greatly assist in critiquing performance and writing the OER.
- Because no specific method to use the OSF has been mandated, it is up to the supervisor to select a method that works best for themselves and the reported-on officer given their particular situation.



# **Appealing OERs**

#### • OER Replies

 An officer may reply to any OER regardless of its contents and have this reply filed with the OER. The reply expresses a fact-based view of performance, which may differ from the raters'.

#### Reply Process

- Submit OER replies within 14 days of receiving the OER from Director, Commissioned Personnel Center
- Submit through original rating chain.
- Remember OER replies do not constitute a request to correct a record.





# **Reported-On Officer Reply**

Date: (Submitted to Supervisor)

MEMORANDUM FOR: Director, NOAA Commissioned Personnel Center (CPC2)

(Original Supervisor by name) (Original Reporting Officer by name) (Original Reviewer by name)

From: (RANK, NAME, LAST FOUR DIGITS OF SSN, and NOAA)

Subj: OER REPLY

Ref: (a) NOAA Corps Directive (series)

1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period (<u>YR, MONTH, DAY</u>) to (<u>YR, MONTH, DAY</u>).

Signature

HONOR



# **Appealing OERs**

- Derogatory OERs
  - Derogatory OERs contain a mark of "1" in any performance dimension or a "comparison rating scale" mark of unsatisfactory.
  - An officer must have an opportunity to attach an addendum.
  - Director, Commissioned Personnel Center may recommend to Director, NOAA Corps that a special or "Show Cause" board convenes to determine that officer's fitness for continued retention in the NOAA Corps.



## **OER Corrections**

- OER Corrections
  - Any officer may seek correction of any OER (Record Correction Procedures), or any portion of it, if in their opinion the report is in error.
  - Errors should always be addressed at the lowest possible level.



# **Top Discrepancies**

- Missing signatures
- Signature date prior to EOP
- Incorrect comparison scale
- Comments do not support marks
- Comments missing
- Text Enhancement
  - Underlining/Bolding/CAPITALS
  - Excessive Pronunciation!!!



#### Summary

- Maintain a Personal OER File
- Achieve Closure Follow Through
- Don't Delay Submission *Time for Due Process!*
- Review HQ PDR or Review a Scanned Copy at Virtual CPC located at https://cpc.nmao.noaa.gov/



# Do's

- Gain a thorough understanding of your written billet description. If it is out of date, rewrite it. If there isn't one, write it. Provide input to your supervisor in preparing Section2 of the OER.
- Clearly understand the relationship between your job and your unit's mission.
- Contact the Director, Commissioned Personnel Center in writing if you have not received your OER receipt copy after 90 days after the end of the reporting period.
- Ensure all OERs are in your OPF before boards convene.
- Maintain a complete personal OER file.



# Do's

- Keep a weekly or daily log to document accomplishments – Not only what you did, but also its value or impact on the unit mission or career development.
- Establish specific recommendations in the Potential block. Examples may include promotion, graduate school or a recommendation for command.
- Be alert from signals from superiors. If signals are confusing, ask for clarification.
- Ensure issues raised in previous OERs are brought to closure.



## **Don'ts**

- Don't assume your supervisor knows your accomplishments. Provide input 21 days before the end of the reporting period.
- Don't assume your supervisor knows when your OER is due or how to write it.
- Don't assume an overdue OER will eventually be submitted.
- Don't assume a last-minute OER will reach a board in time.
- Don't leave it to chance that the reporting officer knows your educational or assignment goals.



#### A Little Humor...

- His men would follow him anywhere, but only out of curiosity.
- He has carried out each and every one of his duties to his entire satisfaction.
- This Officer reminds me very much of a gyroscope always spinning around at a frantic pace, but not really going anywhere.
- She sets low personal standards and then consistently fails to achieve them.
- In my opinion this pilot should not be authorized to fly below 250 feet.
- This man is depriving a village somewhere of an idiot.
- The only ship I would recommend this man for is citizenship.
- This officer is like a lighthouse in a desert, not as bright and twice as useless!