

	NOAA COMMISSIONED OFFICER CORPS DIRECTIVES	CHAPTER	VERSION
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	<i>Nancy Hann, RADM/NOAA</i>	June 28, 2024	
	Rear Admiral Nancy L. Hann, NOAA Director, NOAA Corps	REVIEW DATE	
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Purpose

This chapter describes the underlying statutory authority of the NOAA Corps, the organization of the NOAA Corps, the appointment of officer candidates and officers, including inter-service transfers, and NOAA Corps personnel records management.

References

- (A) [5 U.S.C. § 552](#) – Freedom of Information Act
- (B) [5 U.S.C. §552a](#) – Privacy Act
- (C) [10 U.S.C. § 101](#) – Definitions
- (D) [10 U.S.C. § 651](#) – Members: required service
- (E) [10 U.S.C. § 716](#) – Commissioned officers: transfers among the armed forces, the National Oceanic and Atmospheric Administration, and the Public Health Service
- (F) [33 U.S.C. Chapter 43](#) – National Oceanic and Atmospheric Administration Commissioned Officer Corps
- (G) [37 U.S.C. Chapters 1](#) – Definitions; and [Chapter 3](#) – Basic Pay
- (H) [38 U.S.C. § 101\(21\)\(C\)](#) – Definitions
- (I) [44 U.S.C. Chapter 31](#) - Records Management by Federal Agencies and [Chapter 33](#) - Disposal of Records
- (J) [50 U.S.C. 3806](#) – Deferments and exemptions from training and service
- (K) [50 U.S.C. Chapter 50](#) – Servicemembers Civil Relief
- (L) [5 C.F.R. Part 293](#) – Personnel Records
- (M) [5 C.F.R. Part 297](#) – Privacy Procedures for Personnel Records
- (N) [15 C.F.R. Part 0](#) – Employee Responsibilities and Conduct
- (O) [15 C.F.R. Part 4](#) – Disclosure of Government Information
- (P) [15 C.F.R. Part 998](#) – National Oceanic and Atmospheric Administration Commissioned Officer Corps [32 C.F.R. Part 2002](#) – Controlled Unclassified Information (CUI)

- (Q) [36 C.F.R. Chapter XII, Subchapter B](#) – Records Maintenance
- (R) [Executive Order 11023](#), as amended by [Executive Order 13341](#) – Providing for the performance by the Secretary of Commerce of certain functions relating to the National Oceanic and Atmospheric Administration
- (S) Executive Order 13556 – Controlled Unclassified Information
- (T) [U.S. Department of Commerce Controlled Unclassified Information \(CUI\) Policy OPBM-NP-18-0001](#), August 2019
- (U) [U.S. Department of Commerce Controlled Unclassified Information \(CUI\) Guidelines OPBM-NP-18-001](#), August 2019
- (V) [Department of Commerce Organization Order \(DOO\) 10-15](#) – Under Secretary of Commerce for Oceans and Atmosphere and Administrator of the National Oceanic and Atmospheric Administration
- (W) Secretary of Commerce Delegation of Authority to appoint and promote previously approved promotions for commissioned officers (Executive Order 11023, as amended by Executive Order 13341) and to manage the number of corps officers on the lineal list authorized to be serving in each grade (Tracking no. 22-0082700, April 19, 2022)
- (X) [NOAA Delegation of Authority No. 86](#) – OMAO Delegations of Authority
- (Y) DoD Manual 1000.13 Vol. 1 – DoD Identification (ID) Cards
- (Z) DoD Instruction 1000.13 – Identification (ID) Cards for Members of the Uniformed Services, their Dependents, and Other Eligible Individuals
- (AA) DoD Instruction 1300.04 – Inter-Service and Inter-Component Transfers of Service Members
- (BB) Army Regulation (AR) 614-120 – Inter-Service Transfer of Army Commissioned Officers on the Active Duty List
- (CC) Secretary of the Navy Instruction (SECNAVINST) 1000.7G – Interservice Transfer of Officers
- (DD) Marine Corps Order 1001.65 – Officer Retention and Prior Service Accession
- (EE) Air Force Manual (AFMAN) 36-2032, Chapter 5.9 – Military Recruiting and Accessions, Inter-Service Transfer
- (FF) U.S. Office of Personnel Management Operating Manual – The Guide to Personnel Recordkeeping
- (GG) Commissioned Personnel Center Standard Operating Procedure 1100-01, NCOTC BOTC Standing Orders

Document History

DOCUMENT HISTORY

Version	Description of Change	Effective Date
3.0	Removed OPB approval from section 01402(C)(1).	June 2024
2.0	Reformatted and revised to include updates made by NOAA Corps Amendments Act of 2020 (Pub. L. 116-259), changes to Common Access Card policy and procedure, and NOAA Corps personnel records management.	May 2023
1.0	Initial Document	Jan 2016

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Part 1 – General

01101 – Mission and Definitions

- (A) Mission - The mission of the National Oceanic and Atmospheric Administration Commissioned Officer Corps (NOAA Corps) is to integrate leadership, experience, and technology to optimize NOAA's mission of science, service, and stewardship at home and around the world. NOAA Corps officers are NOAA's operational leaders and are an integral part of NOAA's workforce. NOAA Corps officers operate and manage NOAA's fleet of ships and aircraft and serve in positions of leadership and command in NOAA, the Department of Commerce (DOC), and essential positions in other agencies as well as in the military during times of war or national emergency. The NOAA Corps provides a unique and valuable capability to the Nation and NOAA Corps officers provide a responsiveness and flexibility inherent in a commissioned personnel system.
- (B) Definition - Unless otherwise noted, the following definitions apply throughout all chapters of these directives:
- (1) Secretary means the Secretary of Commerce.
 - (2) Under Secretary means the Under Secretary of Commerce for Oceans and Atmosphere.
 - (3) Director means the Director, National Oceanic and Atmospheric Administration Commissioned Officer Corps and Office of Marine and Aviation Operations.
 - (4) NOAA Corps means the commissioned officer corps of the National Oceanic and Atmospheric Administration.
 - (5) NCD means NOAA Corps Directives.
 - (6) NOAA Corps officer means NOAA Corps officer candidates and commissioned officers.

01102 – Background and Authority

- (A) The Act of May 22, 1917, ([40 Stat. 87-88](#)), entitled "An Act to temporarily increase the commissioned and warrant and enlisted strength of the Navy and Marine Corps, and for other purposes," authorized the President with the advice and consent of the Senate to commission field officers of the Coast and Geodetic Survey, equated these officers with military officers, and provided for their transfer to the military during national emergencies. Reorganization Plan 2 of 1965, as amended, ([79 Stat. 1318](#)), transferred the NOAA Corps to the Environmental Science Services Administration which in 1970 became the National Oceanic and Atmospheric Administration (NOAA) under Reorganization Plan 4 of 1970, ([84 Stat. 2090](#)).¹

¹ Other major legislation of historical significance that affected the NOAA Corps includes:

1. The Act of May 18, 1920 ([41 Stat. 603](#), 33 U.S.C. 864) which, prior to its repeal, established basic parity with Navy officers for retirement purposes; and
2. The Coast and Geodetic Survey Commissioned Officers Act of June 3, 1948 ([62 Stat. 297](#)) as amended by [Pub. Law 87-233](#), September 14, 1961 (75 Stat. 506, 33 U.S.C. 851a, 852a-852b, 853e, 853, 854a-854c), [Pub. Law 89-657](#) (80 Stat. 907, 33 U.S.C. 855, 858, 868a), [Pub. Law 91-621](#), December 31, 1970 (84 Stat. 1863, 33 U.S.C. 857-3); [Pub. Law 96-215](#), March 25, 1980 (94 Stat. 123, 33 U.S.C. 857a, 37 U.S.C. 1006, 5 U.S.C. 8521(a)); [Pub. Law 98-498](#),

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- (B) The National Oceanic and Atmospheric Administration Commissioned Officer Corps (NOAA Corps) Act of 2002 ([Pub. L. 107-372](#), codified at 33 U.S.C. 3001 *et seq.*), as amended by the Hydrographic Services Improvement Act of 2008 ([Pub. L. 110-386](#)) and the National Oceanic and Atmospheric Administration Commissioned Officer Corps Amendments Act of 2020 ([Pub. L. 116-259](#)) outlines the status, benefits, compensation, and structure of the NOAA Corps.
- (C) [Executive Order 11023](#), dated May 28, 1962, as amended by [Executive Order 13341](#), dated May 20, 2004, provides for the performance by the Secretary of Commerce of certain functions relating to NOAA.

01103 – Status

- (A) The NOAA Corps is one of the eight uniformed services of the United States. ([33 U.S.C. § 3001](#); [10 U.S.C. § 101\(a\)\(5\)](#); [37 U.S.C. § 101\(3\)](#))
- (B) NOAA Corps officers are permanently appointed by the President. ([33 U.S.C. § 3026](#))
- (C) Commissioned officers of the NOAA Corps are not required to be registered under Section 3 of the Military Selective Service Act of 1967, and are relieved from liability for training and service under Section 4 thereof ([50 U.S.C. § 3806\(a\)\(1\)](#)). A person who has served as a commissioned officer in the NOAA Corps (or its predecessor organizations) for a period of 24 months or more is not liable for induction for training and service under the Act, except as may be required after a Congressional declaration of war or national emergency. ([50 U.S.C. § 3806\(b\)\(3\)\(C\)\(ii\)](#))
- (D) Active service in the NOAA Corps or its predecessor organizations is deemed to be active military service in the Armed Forces of the United States for the purposes of all rights, privileges, immunities, and benefits provided by:
- (1) Laws administered by the Secretary of Veterans Affairs ([38 U.S.C. § 101\(21\)\(C\)](#));
 - (2) The Servicemembers Civil Relief Act, ([50 U.S.C., Chapter 50](#)); and
 - (3) Section 410 of Title 42, as in effect before September 1, 1950. ([33 U.S.C. § 3072](#))
- (E) NOAA Corps officers are subject to transfer to the service and jurisdiction of a military department during periods of national emergency. NOAA Corps officers so transferred shall have proper military status and shall be subject to the laws, regulations, and orders for the government of the service to which transfer is made. ([33 U.S.C. § 3061](#))

01104 – Authorized Grades

Table 1.1.1 Authorized Grades for NOAA Corps officers

GradePay Grade

October 19, 1984 (98 Stat. 2306, 33 U.S.C. 857-3, 853a *et seq.*); and [Pub. Law 105-384](#), November 13, 1998 (112 Stat. 3457-3458, 33 U.S.C. 853(a), 853(u)). These laws are the precursors to laws currently in effect.

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Vice Admiral	O-9
Rear Admiral	O-8
Rear Admiral (lower half)	O-7
Captain	O-6
Commander	O-5
Lieutenant Commander	O-4
Lieutenant	O-3
Lieutenant (junior grade)	O-2
Ensign	O-1
Officer Candidate ²	

([37 U.S.C. § 201](#) and [203\(f\)](#); [33 U.S.C. § 3004](#), [3028\(e\)](#), and [3034](#))

01105 – Positions of Importance and Responsibility

- (A) The Secretary may designate positions in the Administration as being positions of importance and responsibility for which it is appropriate that NOAA Corps officers, if serving in these positions, serve in the grade of vice admiral, rear admiral, or rear admiral (lower half), as designated by the Secretary for each position. The Secretary may assign officers to those positions. ([33 U.S.C. §§ 3028\(a\), \(b\)](#)) (Secretarial Designation, dated November 25, 2003, December 1, 2011, August 22, 2012, and September 19, 2013)
- (B) One such position shall be filled by a NOAA Corps officer on the lineal list serving in or above the grade of rear admiral (lower half), who shall be responsible for the administration of the commissioned officer corps and for oversight of the operation of the administration’s vessel and aircraft fleets. A NOAA Corps officer assigned to any position under this authority has the grade designated for that position if appointed to that grade by the President with the advice and consent of the Senate. For the specific purpose of administering the commissioned officer corps, that position shall carry the title of Director of the NOAA Corps. For the specific purpose of administering the vessel and aircraft fleets, that position shall carry the title of Director of the Office of Marine and Aviation Operations. ([33 U.S.C. § 3028\(c\)](#))
- (C) A NOAA Corps officer temporarily assigned to any position under 33 U.S.C. § 3028 has the grade designated for that position if appointed to that grade by the President. ([33 U.S.C. § 3028\(d\)\(1\)](#)) The NOAA Corps officer’s temporary appointment to the grade above captain only becomes effective upon approval by the President. ([33 U.S.C. § 3026](#))
- (D) A NOAA Corps officer appointed to a grade under NCD 01105(A), while serving in that grade, shall have the pay and allowances of the grade to which appointed. ([33 U.S.C. § 3028\(f\)](#))

² Officer candidates are paid at monthly rates equal to the basic pay of an enlisted member in the pay grade E-5 with less than two years of service ([37 U.S.C. § 203\(f\)](#))

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- (E) A NOAA Corps officer serving in one of the Secretarial designated positions of importance and responsibility serves at the will of the Secretary and the assignment may be ended at such time as the Secretary determines.
- (1) Upon termination of the assignment, the Secretary may:
- (a) Assign the NOAA Corps officer to another position which is the same flag grade as the position being vacated. In such case, the officer would continue to receive the pay and allowances of the grade to which temporarily appointed;
 - (b) Assign the NOAA Corps officer to another position at a higher flag rank than that previously held. Unless appointed to the higher flag grade by the President before the assignment is effected, the officer is only entitled to the pay and allowances for his or her permanent grade; or
 - (c) Assign the NOAA Corps officer to another position at a lower flag grade than that previously held. Unless appointed to the lower flag grade by the President before the assignment is effected, the officer is only entitled to the pay and allowances for his or her permanent grade.
- (F) A NOAA Corps officer who has served in a grade above captain, upon termination of the officer's assignment to the position for which that appointment was made, shall, unless appointed or assigned to another position for which a higher grade is designated or immediately beginning a period of terminal leave, revert to the grade and number the officer would have occupied but for serving in a grade above that of captain. In such a case, the officer shall be an extra number in that grade. ([33 U.S.C. § 3028\(d\)\(2\)](#)) The number of NOAA Corps officers serving under appointments specified in [NCD 01105\(A\)](#), may not exceed five, with only one serving in the grade of vice admiral ([33 U.S.C. § 3028\(e\)](#))
- (G) The assignment of a NOAA Corps officer under [NCD 01105\(A\)](#), creates a vacancy on the lineal list. However, the appointment of a NOAA Corps officer under this section does not vacate the permanent grade held by the officer. ([33 U.S.C. § 3028\(g\)](#))

01106 – Authorized Strength

- (A) The authorized strength of the NOAA Corps is currently 500 officers. ([33 U.S.C. § 3005](#))
- (B) The authorized strength may be temporarily exceeded provided the average number of officers on active duty for the fiscal year does not exceed the authorized number. ([33 U.S.C. § 3004\(d\)](#))
- (C) In addition to those otherwise authorized, 20 additional NOAA Corps officers may be appointed for service in international development programs. (22 U.S.C. § 2369(a)(16))

01107 – Distribution by Grade

- (A) As authorized by the Secretary and the Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, the Director shall prescribe, with respect to the distribution on the lineal list in grade, the percentages of each grade. ([33 U.S.C. § 3004\(b\)](#)),

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Executive Order 11023, as amended by Executive Order 13341, DOO 10-15, Secretarial Delegation to NOAA Administrator 22-0082700, and NOAA Delegation of Authority 86).

- (B) As authorized by the Secretary, and Under Secretary of Commerce for Oceans & Atmosphere and NOAA Administrator, the Director shall make a computation to determine the number of officers on the lineal list authorized to be serving in each grade not less frequently than once each year. The number in each grade shall be computed by applying the applicable percentage to the total number of active duty NOAA Corps officers in service on the date the computation is made. ([33 U.S.C. § 3004\(c\)\(1-2\)](#), DOO 10-15, Secretarial Delegation to NOAA Administrator 22-0082700, and NOAA Delegation of Authority 86)
- (C) Whenever a final fraction occurs in computing the authorized number of NOAA Corps officers in any grade, the nearest whole number shall be taken, and if such fraction be one-half, the next higher whole number shall be taken. ([33 U.S.C. § 3004\(c\)\(3\)](#))
- (D) A NOAA Corps officer will not be reduced in grade or pay or separated from the Service as a result of any computations made to determine the authorized number of NOAA Corps officers in the various grades. ([33 U.S.C. § 3004\(f\)](#))
- (E) NOAA Corps officers holding appointments in flag grades under NCD 04201(A) and officers recalled from retired status or detailed to another agency may not be counted in determining the total number of authorized officers on the lineal list and may not count against such number ([33 U.S.C. § 3004\(e\) and 3005\(b\)](#))

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01201 – General Provisions and Scope

- (A) The purpose of this part is to describe the various types of appointments permitted by law, and to explain the policies and procedures by which each type of appointment may be obtained.
- (B) Types of Appointments:
- (1) An original appointment is defined as the appointment of an officer in the NOAA Corps which is the officer's most recent appointment in the Corps that is neither a promotion nor a demotion. ([33 U.S.C. § 3021](#); [33 U.S.C. § 3002\(a\)](#); [10 U.S.C. § 101\(b\)\(10\)](#)) Original appointments may be either permanent or temporary.
 - (2) Promotions are a particular type of appointment in which a NOAA Corps officer is promoted to and appointed in a higher grade. Promotions are discussed in NCD Chapter 4.
 - (3) Reappointments occur when a NOAA Corps officer resigns from the NOAA Corps and subsequently seeks to return to the NOAA Corps. The Secretary may reappoint an individual to the NOAA Corps at the grade the individual held prior to separation, except for reappointment to a position of importance and responsibility, which may only be made by the President. ([33 U.S.C. § 3021\(b\)](#))
 - (4) Inter-service transfers are appointments in which a commissioned officer transfers from one uniformed service to another uniformed service without a break in service. ([33 U.S.C. § 3021\(e\)](#), [10 U.S.C. § 716](#)) Inter-service transfers are discussed in [Part 3](#) of this Chapter.

01202 – Types of Original Appointment

- (A) Permanent appointments are made by the President. ([33 U.S.C. § 3026](#)) A permanent appointment shall not be effective until the Secretary receives from the President, or from the President's representative, information showing that the Presidential approval for appointment as a commissioned officer. (Executive Order 11023, as amended by Executive Order 13341)
- (B) The Secretary, in the name of the President, shall issue to each officer a commission evidencing the appointment of such person after receiving the Presidential approval. (Executive Order 11023, as amended by Executive Order 13341) The effective date specified in the commission will be deemed for all purposes to be the date of appointment. Except as provided in Subsection B of this Directive, an original appointment of an officer may be made in such grades as may be appropriate for:
- (1) The qualification, experience, and length of service of the appointee; and
 - (2) The needs of the NOAA Corps. ([33 U.S.C. § 3021\(a\)\(1\)\(A\)](#))
- (C) An original appointment of an officer candidate, upon graduation from the basic officer training program, may not be made in any other grade than ensign ([33 U.S.C. § 3021\(a\)\(1\)\(B\)](#))
- (D) Original temporary appointments in the grades of ensign, lieutenant (junior grade), or lieutenant may be made by the President. ([33 U.S.C. § 3029\(a\)](#)). The Secretary may make an original temporary appointment in the grade of ensign. (EO 11023, Sec. 1(b), as amended by EO 11023).

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A temporary appointment shall terminate upon approval of a permanent appointment for such position made by the President. ([33 U.S.C. § 3029\(b\)](#)).

01203 – General Qualifications

- (A) Original appointments to the NOAA Corps are made based on the qualifications of individual applicants and the needs of the Service. Each applicant must:
- (1) Be a citizen of the United States of good moral character ([33 U.S.C. § 3021\(c\)](#) and [15 C.F.R. § 998.11](#));
 - (2) Demonstrate mental, moral, physical, and professional fitness to perform the duties of an officer as established under the accessions requirements as laid out in [NCD 01205](#) and [01206](#); ([33 U.S.C. § 3021\(c\)](#) and [15 C.F.R. § 998.11](#));
 - (3) Meet the prescribed standards of education as laid out in [NCD 01207](#) ([33 U.S.C. § 3021\(c\)](#) and [15 C.F.R. § 998.11](#)); and
 - (4) Have not been twice not selected for promotion in another uniformed service. ([33 U.S.C. § 3021\(c\)](#) and [15 C.F.R. § 998.11](#)).
- (B) An applicant shall be rated on collegiate record, work experience, references, the report of the interviewing officer, and all other available information.
- (C) Qualified applicants are normally appointed in the temporary grade of ensign after successful completion of the Basic Officer Training Course. ([33 U.S.C. § 3021\(a\)\(1\)\(B\)](#); [33 U.S.C. § 3029\(a\)](#); Executive Order 11023, as amended by Executive Order 13341) However, an applicant who surpasses the minimum requirements may be appointed in such grades as may be appropriate for the qualification, experience, and length of service of the appointee and the needs of the Service. Such permanent appointments may only occur after receiving approval by the President. ([33 U.S.C. § 3021\(a\)\(1\)\(A\)](#), [33 U.S.C. § 3026](#))

01204 – Dual Commissions Prohibited

A commissioned officer of the NOAA Corps may not be a member of another uniformed service. An applicant for appointment in the NOAA Corps who is a member of another uniformed service shall terminate their commission in that service or obtain a conditional release from their present service before being commissioned in the NOAA Corps.

01205 – Physical and Mental Qualifications

The NOAA Corps is authorized to establish physical and mental qualifications. Candidates for appointment must undergo a complete examination and submit a complete medical history per Fleet Medical Manual and Aviation Medical Manual. ([33 U.S.C. § 3021\(a\)\(3\)](#) and [\(c\)](#)). The Director will determine whether a candidate has met the qualifications and/or whether waivers are authorized.

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01206 – Moral Qualifications

- (A) A finding of moral unfitness may be based on evidence of a specific act or a pattern of conduct, which when taken together, indicate a sufficiently serious reason to disqualify the candidate for appointment.
- (B) Successful candidates must embody the NOAA Corps core values of honor, respect, and commitment as demonstrated through integrity, ethical behavior, adaptability, candor, professional competence, teamwork, initiative, sound judgment, personal and professional accountability, and the potential to lead others. The Director will determine whether a candidate has met these qualifications.
- (C) The Director, NOAA Corps should also consider the Department of Commerce Employee Responsibilities and Conduct ([15 C.F.R. Part 0](#)).

01207 – Educational Qualifications

To be eligible for an original appointment, an applicant must meet the following educational standards:

- (A) Applicants must hold a baccalaureate degree, preferably in a major course of study related to NOAA's scientific or technical activities, awarded from a postsecondary institution accredited by an accrediting agency recognized by the U.S. Department of Education as a reliable authority. Accreditation can be verified at the Department of Education website. If the applicant has completed all requirements for the degree but the actual awarding has not been made, a statement by the institution that the award will be made, prior to appointment, will be accepted; and
- (B) All applicants, regardless of degree(s) awarded, must have completed at least 48 semester (72 quarter) hours in science, math or engineering course work pertaining to NOAA's mission ([33 U.S.C. § 3021\(c\)](#)) The Director, may waive this requirement based on the needs of the Service.

01208 – Prior Commissioned Service Credit

- (A) Original appointments may be made in such grades as may be appropriate for the qualification, experience, and length of service of the appointee and the needs of the Service. ([33 U.S.C. § 3021\(a\)\(1\)\(A\)](#)) The Officer Personnel Board (OPB) shall make a recommendation for credit for prior commissioned service when applicable. ([33 U.S.C. § 3022\(c\)](#)) All credit for prior commissioned service must be approved by the Director. These provisions do not apply to inter-service transfers pursuant to [NCD 01304\(F\)\(2\)](#).
- (B) Prior commissioned service credit is allowed:
 - (1) For non-NOAA prior commissioned service, credit may be granted for full-time, active-duty commissioned service at the recommended rate of 50 percent of the creditable service time. Further credit may be granted on an individual basis for commissioned service experience immediately required by NOAA. Prior commissioned service credit will not be granted for enlisted service. Total prior commissioned service credit shall not

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exceed 100 percent of the creditable service time and if granted will be applied upon appointment to the grade of lieutenant (junior grade) or above. Credit for pay purposes will be granted at the rate of 100 percent of the creditable service time. Credit will only be granted for service characterized as Honorable. Upon appointment to the NOAA Corps, all prior service medical and personnel records will be transferred to the Commissioned Personnel Center (CPC).

- (2) For prior commissioned service in the NOAA Corps, credit may be granted at the rate of 100 percent of prior service time. For pay purposes, 100 percent of prior NOAA Corps time will be granted. Credit will not be granted for service other than honorable.

01209 – Recruiting and Application Process

- (A) The Director, CPC, shall prepare and disseminate information relating to applications for appointment in the NOAA Corps.
- (B) Recruiting shall be conducted by individuals designated by the Director.
- (C) An applicant for appointment shall be personally interviewed by a NOAA Corps officer at the grade of lieutenant or higher as part of the recruiting process.
- (D) Each applicant shall submit or have submitted, as appropriate:
 - (1) Personal Data Resume (PDR) NOAA Commissioned Corps (NOAA Form 56-40A);
 - (2) Application for Appointment in the NOAA Commissioned Officer Corps (NOAA Corps) (NOAA Form 56-42);
 - (3) Official transcripts sent directly from all colleges/universities attended;
 - (4) Letters of Recommendation (NOAA Form 56-42A) from three to five references (previously designated) submitted from the letter author directly to the Recruiting Officer; and
 - (5) Each applicant with prior uniformed service shall submit official or certified copies of all discharges (Department of Defense (DoD) DD-214), PHS Form 1867, and/or National Guard Report of Separation and Record of Service NGB NGB-22, or service equivalent. Each applicant shall also submit copies of all service performance reports applicant's most recent five years of service, including Enlisted Evaluation Review, Enlisted Performance Report, Enlisted Fitness Report, Officer Evaluation Report, Officer Performance Report, or service equivalent as applicable.

01210 – Selection Process

- (A) The Director shall prescribe the number of applicants to be selected for commissioning and the basic qualifications necessary to fulfill the needs of the NOAA Corps.
- (B) The Director, CPC, shall review all applicants and eliminate those not meeting established criteria.

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- (C) The OPB shall convene to review all qualified applicants and recommend candidates for appointment to the Secretary and the President, via the Director. The OPB shall consist of not less than five NOAA Corps officers on the lineal list in or above the permanent grade that the applicants are being considered for appointment, but not below the grade of lieutenant (junior grade). ([33 U.S.C. § 3022\(b\)\(1\)](#))
- (D) The Director shall review the OPB’s recommendations. If the Director does not concur then he/she shall request that the Secretary not accept any recommendations considered inappropriate and direct the OPB to make further recommendations that the Secretary does consider appropriate. The Director shall indicate to the Secretary whether each recommendation for selection is for temporary appointment within the authority of the Secretary, or for permanent appointment within the authority of the President.
- (E) Role of the Secretary.
- (1) Upon review of the recommendations of the OPB, the Secretary shall make those temporary appointments in the grade of ensign as deemed appropriate. ([33 U.S.C. § 3029\(a\)](#); Executive Order 11023, as amended by Executive Order 13341) In making temporary appointments in the grade of ensign, the Secretary may accept or reject the recommendations of the OPB in whole or in part. ([33 U.S.C. § 3022\(c\)](#))
- (2) The Secretary shall review the recommendations of the OPB for permanent appointment. The Secretary may accept or reject the recommendations of the OPB in whole or in part. Recommendations of the OPB approved by the Secretary shall be forwarded to the President. Should the Secretary not accept one or more of the recommendations made by the OPB, the Secretary shall return the rejected recommendations to the OPB with instructions to make such further recommendations as are acceptable. ([33 U.S.C. § 3022\(c\)](#)) Permanent appointments shall not be effective until the Secretary receives from the President, or from the President’s representative, approval by the President for appointment as a NOAA Corps officer. ([33 U.S.C. 3026](#); Executive Order 11023, as amended by Executive Order 13341) The Secretary, in the name of the President, shall issue to each officer, a commission evidencing the appointment of such person. The effective date specified in the commission will be deemed for all purposes to be the date of appointment. (Executive Order 11023, as amended by Executive Order 13341)
- (F) Role of the President
- (1) The Secretary shall forward to the President those recommendations for permanent appointment that he or she accepts. ([33 U.S.C. § 3022\(c\)](#))
- (2) Permanent appointments shall not be effective until the Secretary receives from the President, or from the President’s representative, the President’s approval for appointment as a NOAA Corps officer. ([33 U.S.C. § 3026](#); Executive Order 11023, as amended by Executive Order 13341) The Secretary, in the name of the President, shall issue to each approved candidate a commission evidencing their appointment. The effective date specified in the commission will be deemed for all purposes to be the

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date of appointment. (Executive Order 11023, as amended by Executive Order 13341)

01211 – Appointment Process

- (A) The Director, CPC, will advise selected applicants of specific actions required to effect their appointments into the NOAA Corps.
- (B) Before appointment, each applicant will execute the forms as prescribed by the NOAA Corps Recruiting Branch.
- (C) Each selected applicant must accept in writing the appointment offered and take the prescribed Oath of Office. ([5 U.S.C. § 3331](#)) The oath of office will be administered by the Director or the Director, CPC when possible, or by another commissioned officer or another individual authorized by law to administer oaths. ([10 U.S.C § 1031](#) as authorized by [33 U.S.C. § 3071\(a\)\(7\)](#); [5 U.S.C. § 2903](#))
- (D) The commission of a NOAA Corps officer in the permanent grade of ensign may be revoked by the Director and the officer separated from the NOAA Corps if that officer is at any time found not fully qualified ([33 U.S.C. § 3023\(b\)](#); Executive Order 11023, as amended by Executive Order 13341) Qualification includes the ability to obtain and maintain a Secret level security clearance. The loss of a security clearance will result in the automatic revocation of a commission.

01212 – Reappointment

- (A) Former NOAA Corps officers who have voluntarily resigned from the NOAA Corps and who wish to rejoin the NOAA Corps may apply to the Director for reappointment. Those desiring reappointment must follow the application procedure in [NCD 01209](#).
- (B) A request for reappointment in the NOAA Corps will be treated as an application for original appointment. The selection and appointment procedures in [NCD 01210](#) and [01211](#) are applicable.
- (C) Except for appointments to positions of importance and responsibility described in [NCD 01105](#), the Secretary may reappoint a NOAA Corps officer to the grade held prior to separation. A reappointment to a position of importance and responsibility may only be made by the President. ([33 U.S.C. § 3021\(b\)](#))

01213 – Basic Officer Training Class

- (A) The NOAA Corps Basic Officer Training Class (BOTC) is the officer training program for entrance and commission in the NOAA Corps. All NOAA Corps officer candidates described in [NCD 01214](#) shall attend and successfully complete BOTC prior to commission.
- (B) All NOAA Corps officers commissioning with an original appointment other than as an officer candidate shall attend BOTC prior to reporting to their first assignment. The Director may exempt such officers from attending BOTC if it suits the needs of the Service, taking into consideration the officer's:

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- (1) Prior NOAA Corps or other commissioned service; or
 - (2) Specific technical qualifications or credentials.
- (C) Any determination to exempt a NOAA Corps officer from BOTC made by the Director, or their designee, will not be appealable.

01214 – Officer Candidates

- (A) The Secretary may appoint officer candidates, who are individuals enrolled in the NOAA Corps basic officer training program and are under consideration for an appointment as an officer in the NOAA Corps. ([33 U.S.C. § 3002\(b\)\(4\)](#); [3021\(c\)](#); and [3034\(a\)](#), as prescribed at [15 C.F.R. § 998.10](#))
- (B) Applicants for officer candidates shall meet all general, moral, mental, physical, and educational qualification criteria described in NCD [01205](#), [01206](#), and [01207](#). ([33 U.S.C. § 3034\(b\)](#), as prescribed at [15 C.F.R. § 998.11](#))
- (C) The application and selection processes described in NCD Chapter 1 shall apply to officer candidates. ([33 U.S.C. § 3034\(b\)](#), as prescribed at [15 C.F.R. § 998.12](#))
- (D) The Director may dismiss any officer candidate from the NOAA Corps Basic Officer Training program who, during the officer candidate's term as an officer candidate, the Director considers unsatisfactory in either academics or conduct, or not adapted for a career in the NOAA Corps. Officer candidates shall be subject all rules of the NCD. ([33 U.S.C. § 3034\(c\)](#), as prescribed at [15 C.F.R. § 998.10\(d\)](#); Executive Order 11023, as amended by Executive Order 13341)
- (E) Each officer candidate shall sign an agreement with the Secretary regarding the officer candidate's term of service in the NOAA Corps, which provides that the officer candidate shall agree to the following:
- (1) The officer candidate will complete the course of instruction of the NOAA Corps Basic Officer Training program;
 - (2) Upon graduation, the officer candidate will accept an appointment, if tendered, to the grade of ensign; and
 - (3) The officer candidate will serve on active duty in the NOAA Corps for at least four years immediately after such appointment. ([33 U.S.C. § 3021\(a\)\(1\)\(B\)](#); [3034\(d\)](#), as prescribed at [15 C.F.R. §998.10\(e\)](#))
- (F) A former officer candidate who has graduated from the basic officer training program and is an active duty officer but who has not yet met their initial obligated service commitment shall be considered to be in breach of their agreement if they do not fulfill the terms of their service. ([15 C.F.R. § 998.10\(f\)](#))
- (G) The Commissioned Personnel Center shall determine if a breach of agreement has occurred and, if so, notify the officer of such determination in writing. ([33 U.S.C. § 3034\(e\)](#), as prescribed at [15 C.F.R. § 998.28](#))

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- (H) An individual who is found to be in breach of their agreement shall be subject to repayment provisions of [33 U.S.C. § 3006\(b\)](#), as prescribed at [15 C.F.R. § 998.30](#). ([33 U.S.C. § 3034\(f\)](#)). An individual subject to such repayment provisions is required to reimburse the Government in an amount that bears the same ratio of the total costs of the training or education received as the unserved portion of active duty bears to the total period of active duty the officer agreed to serve, unless waived under [15 C.F.R. 998.29](#), see following paragraph (I).
- (I) The Director may waive the service obligation of an officer candidate or officer under this section who:
- (1) Becomes unqualified to serve on active duty in the NOAA Corps because of a circumstance not within the control of that officer; or is:
 - (a) Not physically qualified for appointment; and
 - (b) Determined to be unqualified for service in the NOAA Corps due to a physical or medical condition that was not the result of the officer’s own misconduct or grossly negligent conduct. ([33 U.S.C. § 3006\(c\)](#)), as prescribed at [15 C.F.R. § 998.29](#))

01215 – Sources of Appointments

An original appointment may be made from among the following:

- (A) Graduates of the NOAA Corps Basic Officer Training Class.
- (B) Subject to the approval of the Secretary of Defense, graduates of the military service academies of the United States³ who otherwise meet qualifications for enrollment in the NOAA Corps Basic Officer Training Class.
- (C) Graduates of the State maritime academies⁴ who:
 - (1) Otherwise meet the qualifications for enrollment in the NOAA Corps Basic Officer Training Class;
 - (2) Completed at least three years of regimented training while at a State maritime academy; and

³ Military service academies of the United States means the United States Military Academy, West Point, New York; the United States Naval Academy, Annapolis, Maryland; The United States Air Force Academy, Colorado Springs, Colorado; the United States Coast Guard Academy, New London, Connecticut; and the United States Merchant Marine Academy, Kings Point, New York. ([33 U.S.C. 3021\(a\)\(3\)\(A\)](#))

⁴ State maritime academies has that meaning in [46 U.S.C. 51102](#), including: California State University Maritime Academy, Vallejo, California; Great Lakes Maritime Academy, Traverse City, Michigan; Maine Maritime Academy, Castine, Maine; Massachusetts Maritime Academy, Buzzards Bay, Massachusetts; State University of New York Maritime College, Fort Schuyler, New York; and Texas A&M Maritime Academy, Galveston, Texas. ([33 U.S.C. 3021\(a\)\(3\)\(B\)](#))

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- (3) Obtained an unlimited tonnage or unlimited horsepower Merchant Mariner Credential from the United States Coast Guard (USCG).
- (D) Licensed officers of the United States merchant marine who have served two or more years aboard a vessel of the United States in the capacity of a licensed officer, who otherwise meet the qualification standards for enrollment in the NOAA Corps Basic Officer Training Class. ([33 U.S.C. § 3021\(a\)\(2\)](#))

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Part 3 – Inter-Service Transfers

01301 – Policy

- (A) Inter-service transfer (IST) is the transfer of commissioned officers serving on active duty, between uniformed services, without an interruption in their service career. Transfers are made only between equivalent services, such as from reserve to reserve and from regular to regular. The NOAA Corps does not have a reserve component; therefore, ISTs will not be accepted from a reserve component.
- (B) Commissioned officers qualified to contribute to an activity of another service may apply for an IST.
- (C) Transfers shall not be accomplished without the request or consent of the commissioned officer concerned, except if the President determines a sufficient national emergency exists. ([33 U.S.C. § 3061\(a\)\(1\)](#); [10 U.S.C. § 716\(a\)](#))
- (D) A commissioned officer shall not be transferred from one service and appointed in another service with a precedence or relative rank higher than that held on the day before such transfer. ([10 U.S.C. § 716\(b\)](#))
- (E) Transfers shall be made only within the authorized strength limitations of the gaining service. ([10 U.S.C. § 716\(a\)](#))
- (F) Release of a commissioned officer for an inter-service transfer under this regulation will not constitute a release from or fulfillment of a uniformed service obligation established by [10 U.S.C. § 651](#) or [33 U.S.C. § 3006](#). However, additional service performed after a transfer shall be counted toward fulfillment of such obligation.
- (G) Director, NOAA Corps must expressly authorize the inter-service transfer of a NOAA Corps officer who is subject to a service obligation under [33 U.S.C. § 3006](#).
- (H) Transfers are subject to the concurrence of both the gaining and losing services. ([10 U.S.C. § 716](#); DoD Instruction 1300.04)
- (I) While intended for use primarily in the technical fields to permit the fullest possible use of commissioned officers with critical or unusual skills, inter-service transfers between the services are not restricted to technical specialties.
- (J) A member of a regular component of the uniformed services precluded from inter-service transfer to the NOAA Corps under the provisions of this regulation may apply for direct appointment subject to any applicable laws, regulations, or service commitment contracts that may be binding on the applicant.
- (K) The authority to effect inter-service transfer rests with the Secretary, in the name of the President. (Executive Order 11023, as amended by Executive Order 13341) Inter-service transfer to or from the NOAA Corps will not be effective until approval for the transfer is obtained from the Secretary. The Secretary may delegate this authority.

Part 3 – Inter-Service Transfers

01302 – Responsibilities

- (A) Requests for inter-service transfer may be initiated by the Secretary of the gaining service, or their designee, or by the officer concerned.
- (B) The Service Secretaries, or their designees, may:
 - (1) Indicate their concurrence or non-concurrence of the proposed transfer;
 - (2) Approve transfers into their respective services that are acceptable to both the gaining and losing service and are in the best interest of both services; and
 - (3) Withdraw concurrence with the proposed or approved transfer when not considered to be in the best interest of either service. (DoDI 1300.04)

01303 – Transfer from the NOAA Corps

- (A) A NOAA Corps officer desiring transfer to a regular component of another service shall apply, by letter, to the Director via their chain of command. The letter must include the following information:
 - (1) Full name, current grade and date of rank;
 - (2) Complete title and mailing address of the command to which presently assigned;
 - (3) Total amount of active commissioned service;
 - (4) Date and place of birth, citizenship and how acquired
 - (5) Educational background and a detailed statement of professional and technical qualifications;
 - (6) Summary of any previous inter-service transfer actions;
 - (7) Statement of the reasons for requesting transfer; and
 - (8) A contingent resignation that will include the following statement: "I hereby tender my resignation from the NOAA Corps and request that it be accepted contingent upon final approval of my application for transfer to the [specify gaining service] and effective as of the day preceding the date of my acceptance and appointment in the [specify gaining service]."
- (B) The officer's immediate supervisor may provide a forwarding endorsement indicating whether the transfer is considered to be in the best interests of NOAA and the officer.
- (C) Requests for inter-service transfer shall be made at least six months before the date on which the desired transfer is to be effective. If the Director concurs, the request will be forwarded to the Secretary of the gaining service, or their designated representative.
- (D) Upon approval of an inter-service transfer, the termination of an officer's commission and subsequent appointment in the gaining service will be accomplished without interruption of service. The gaining service will forward the transferee's initial appointment and first duty

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orders to the Director. These orders will be forwarded to the officer as an acceptance of the resignation and will be executed the day following the separation from the NOAA Corps.

- (E) The transferring officer's official personnel and medical records will be verified current, and a copy will be forwarded to the gaining service. A complete statement of service, including pay entry base date and leave balance at the time of transfer, will be included with the records.
- (F) The officer is responsible for understanding and following the inter-service transfer policies and procedures of the service to which they are applying for transfer (e.g., AR-614-120, SECNAVINST 1000.7G, AFMAN 36-2032, Chapter 5.9, or other service equivalent).

01304 – Transfer to the NOAA Corps

- (A) A commissioned officer of a regular component of a service seeking a transfer to the NOAA Corps shall submit a request for consideration to the Director. The Director shall forward the request to the OPB for consideration.
- (B) Requests for inter-service transfer to the NOAA Corps will be evaluated on a case-by-case basis. An inter-service transfer request will be approved only when the NOAA Corps requires a particular skill and does not have sufficient numbers of officers at the appropriate grades or the necessary skills to meet the need.
- (C) All applicants for transfer to the NOAA Corps must satisfy the requirements prescribed for appointment, NCD Chapter 1, Part 2 – Appointments in the NOAA Corps. The Director may waive the educational requirements based on the needs of the Service.
- (D) The OPB shall review the request and make a recommendation via the Director to the Secretary as to whether the request should be approved. ([33 U.S.C. § 3022](#))
 - (1) If the OPB recommends the request for inter-service transfer should be denied, the OPB will inform the Director. The Director will forward the recommendation, along with his or her own comments, to the Secretary. If the Secretary concurs with the denial of the transfer, the Director, CPC, will inform the applicant.
 - (2) If the OPB recommends that the request for inter-service transfer should be approved, the following procedures apply:
 - (a) The Director shall forward the recommendation, along with any comments, to the Secretary.
 - (b) The Secretary shall review the recommendation. If the Secretary concurs with the OPB's recommendation, the Director will forward the request to the Secretary of the losing service. The request shall be accompanied by a consent letter from the officer concerned.
- (E) Upon receipt of a concurrence from the Service Secretary concerned, the Director will forward to the Secretary a request that the transfer be approved and effected. An inter-service transfer will not be effected until the Secretary's approval is obtained. ([10 U.S.C. § 716](#); Executive Order 11023, as amended by Executive Order 13341)

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- (F) Placement of a commissioned officer transferred to the NOAA Corps on the active-duty lineal list shall be determined by the Director, CPC, provided that:
- (1) The officer transferred shall not be assigned precedence or relative rank higher than that which the officer held on the day before transfer. ([10 U.S.C. § 716\(b\)](#))
 - (2) The officer transferred shall continue to hold the same date of rank in the losing service. The officer transferred will be placed on the lineal list below all other officers with the same date of rank.
- (G) When the transfer is accomplished, the officer's personnel and medical records will be transferred to the NOAA Corps by the losing service. The officer will be credited with the total amount of unused leave and active duty service accrued as of the day before the transfer.

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Part 4 – Precedence and Authority

01401 – Policy

- (A) Precedence is determined by rank and grade as defined below:
- (1) The order of precedence among members of the uniformed services. ([37 U.S.C. § 101\(16\)](#); [33 U.S.C. § 3002\(a\)](#); [10 U.S.C. § 101\(b\)\(8\)](#)) Rank may also be described as that character or quality bestowed upon individuals which marks their station and confers eligibility to exercise command or authority in a uniformed service within the limits prescribed by law.
 - (2) A step or degree in a graduated scale of office or rank that is established and designated as a grade by law or regulation. ([37 U.S.C. § 101\(15\)](#); [33 U.S.C. § 3002\(b\)\(2\)](#))
- (B) Authority is derived from the authority of superiors, if properly delegated, or may be inherent to the position, grade or rank held.

01402 – Precedence among NOAA Corps Officers

- (A) The Director holds the grade of rear admiral while so serving and takes precedence over all officers of the NOAA Corps except an officer of the NOAA Corps serving in the grade of vice admiral.
- (B) Precedence of all other NOAA Corps officers shall be arranged on the lineal list by the Director in order of their lineal number from lowest number to highest. Lineal numbers denote precedence with “1,” being the most senior NOAA Corps officer. Lineal number will be assigned by the Director according to grade/rank. NOAA Corps officers of the same grade/rank shall be listed by seniority in grade (i.e. date of rank) with the lowest number assigned to the NOAA Corps officer who has held that rank the longest. ([33 U.S.C. § 3003\(b\)](#))
- (C) Precedence of NOAA Corps officers of the same grade is determined generally by placement on the lineal list. A NOAA Corps officer whose date of rank is earlier than the date of rank of another officer is senior to that officer.
- (1) Upon temporary appointment as an officer candidate, candidates shall be placed on the lineal list alphabetically. Upon completion of BOTC and appointment as ensigns, ranks are determined by the Commanding Officer, NOAA Corps Officer Training Center per criteria established in Commissioned Personnel Center Standard Operating Procedure 1100-01, NCOTC BOTC Standing Orders.
 - (2) The date of rank of a NOAA Corps officer originally appointed but waived from the BOTC requirement shall be the date of appointment.
 - (3) The date of rank of a NOAA Corps officer reappointed in a permanent grade shall be the date of appointment. If prior service credit is applied, shall be placed accordingly on the lineal list. ([33 U.S.C. § 3021\(b\)\(1\)](#); [NCD 01210](#); [01214](#)) The officer will be placed below all other officers on the lineal list with the same date of rank. ([33 U.S.C. § 3021\(d\)](#))
 - (4) A NOAA Corps officer entering on active duty and appointed in the temporary grade of ensign pursuant to [33 U.S.C. § 3029\(a\)](#), shall upon Presidential approval in the

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permanent grade of ensign, be assigned the same date of rank in the permanent grade as held in the temporary grade of ensign.

- (5) A NOAA Corps officer appointed from the temporary grade of lieutenant (junior grade) to the permanent grade of lieutenant (junior grade) shall be assigned the same date of rank as held in the temporary grade.
 - (6) The date of rank of a NOAA Corps officer temporarily promoted one grade pursuant to [33 U.S.C. § 3029\(d\)](#), shall be the effective date of the temporary promotion while serving in that grade.
- (D) The lineal number and date of rank, as necessary, of a NOAA Corps officer advanced or lowered shall be adjusted to reflect the new position on the lineal list.
 - (E) A NOAA Corps officer not selected for promotion because of an administrative error, or removed from the line of promotion and subsequently returned to the line of promotion without prejudice, shall be considered for promotion at the next earliest opportunity. The NOAA Corps officer is not entitled to retroactive pay due to the administrative error. Depending on the length of time the officer lost due to administrative error, the OPB may make a recommendation for lineal list adjustment. ([33 U.S.C. § 3022\(c\)](#))

01403 – Precedence When Serving with the Armed Forces

NOAA Corps officers serving with the Army, Navy, and Air Force, shall rank with and after officers of corresponding grade and length of service in that grade in the Army, Navy, and Air Force. ([33 U.S.C. § 3062](#))

01404 – Exercise of Authority

- (A) NOAA Corps officers on active duty are at all times subject to NOAA Corps authority and the authority of the officers appointed over them. Likewise, they shall exercise authority over all persons subordinate to them in accordance with these Directives and orders from competent authority. Any NOAA Corps officer under arrest, suspended from duty, in confinement, or otherwise incapable of discharging NOAA Corps duties, shall not exercise authority over others.
- (B) NOAA Corps officers on the retired list are subject to recall to the NOAA Corps. A recalled NOAA Corps officer will be placed on the lineal list and shall be assigned seniority by the date of recall appointment. Procedures for recall of retired officers are found in NCD Chapter 15.
- (C) A NOAA Corps officer directed to command by competent authority, or who has succeeded to command, exercises positional authority over all members of that command and thus takes precedence over all NOAA Corps officers and other persons attached to the command of whatever rank or classification.
- (D) A NOAA Corps officer succeeding to command because of the commanding officer's incapacity, death, departure on leave, or absence because of orders from competent authority, has the same authority and responsibility as the NOAA Corps officer from whom he or she succeeds.
- (E) A NOAA Corps officer assigned or detailed to a position of executive officer by competent authority, while executing the duties of that position, shall take precedence over all

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commissioned officers under the command of the commanding officer and exercises positional authority over all members of that command except for the commanding officer and members of the command who report directly to the commanding officer.

01405 – Authority in Special Situations

- (A) A NOAA Corps officer embarked as a passenger on a ship or aircraft not under his or her command, unless otherwise specified in his or her orders, has no authority over, nor responsibility for, the ship or aircraft.
- (B) A NOAA Corps officer embarked as passenger or member of a scientific complement, who are junior to the commanding officer, may be assigned duty when the needs of the Service render it necessary. The Commanding Officer shall be the sole judge of this necessity. Passengers thus assigned shall have the same authority as though regularly attached to the ship, but shall have no additional claim to quarters by virtue of such assignment.

01406 – Succession to Command

- (A) Command is exercised by virtue of office or by assignment of individuals designated by competent authority.
- (B) In the event of the incapacity, death, relief from duty, or absence of an officer detailed to command a unit, that officer shall be succeeded by the following, in the order enumerated, unless and until another officer is assigned by competent authority:
 - (1) Shore Units
 - (a) The assigned (or designated) executive officer or deputy;
 - (b) Other assigned NOAA Corps officers in order of seniority, unless otherwise specified by competent authority.
 - (2) Ships
 - (a) The assigned (or designated) executive officer
 - (b) Other assigned NOAA Corps officers certified and qualified for officer-of-the-deck (OOD) watches underway in order of seniority. The commanding officer shall publish this order of succession to command.
 - (3) Aircraft
 - (a) The assigned (or designated) co-pilot;
 - (b) Other assigned NOAA Corps officers certified as qualified aircraft commanders in order of seniority, unless otherwise specified by competent authority.
- (C) Whenever a NOAA Corps officer is succeeded by a civilian as Master or officer-in-charge (OIC) or equivalent position, the senior NOAA Corps officer assigned to the unit will become commander of the officer personnel for that organization, but all officers/personnel will remain under the authority of the civilian individual in charge of the unit.

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- (D) An individual who becomes commanding officer or OIC in accordance with the preceding paragraphs shall promptly report that fact and the reasons therefore to his or her immediate superior.

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Part 5 – Identification, Dependency Status, Addresses

01501 – Identification Cards – Purpose

- (A) The Department of Defense (DoD) provides members of the all the Uniformed Services including NOAA Corps officers with a distinct identification (ID) card and a 10-digit DoD ID Number.
- (B) Uniformed Services ID cards remain the property of the United States and are issued:
 - (1) Upon entrance on active duty or transfer to a retired list;
 - (2) To show a change in grade, name, or inter-service transfer;
 - (3) Upon expiration;
 - (4) To replace a lost, stolen, destroyed, or mutilated ID card; or
 - (5) Upon eligibility for Uniformed Services benefits and privileges, due to marriage, birth, adoption, or other reason for attainment of dependency status.
- (C) The DoD regulation governing the issuance and eligibility requirements for Uniformed Services ID cards DoD Manual (DoDM) 1000.13, Volume 1, DoD Identification (ID) Cards: ID Card Life-Cycle.
- (D) The Director shall implement the procedures prescribed in DoDM 1000.13, Vol. 1 and ensure that supplemental guidance and procedures are in accordance with DoD Instruction 1000.13 and DoDM 1000.13, Vol. 1.

01502 – Identification Cards – Types

- (A) The following identifies the types of ID cards that DoD authorizes for use by the NOAA Corps:
 - (1) The Common Access Card, (CAC), is the ID card for active duty uniformed services personnel. It is the primary source of identification for active duty NOAA Corps officers and must be in the personal custody of the officer at all times except that, if required by proper Government authority, it shall be surrendered for identification or investigation, or while in confinement. The card also serves as identification for purposes of Article 17 of the Geneva Convention. In the event of capture as a prisoner of war, it shall be shown to the capturing authorities but should not be surrendered.
 - (2) United States Uniformed Services Identification Card (Retired), (DD Form 2RET), is the primary source of identification for officers entitled to retired pay and entitlements and must be in the personal custody of the retired officer at all times except that, if required by proper Government authority, it shall be surrendered for identification or investigation, or while in confinement.
 - (3) Uniformed Services Identification and Privilege Card, (DD Form 1173), shall be issued to all eligible dependents of NOAA Corps officers as evidence of their eligibility for uniformed services' benefits and privileges.

Part 5 – Identification, Dependency Status, Addresses

01503 – Identification Cards – Issuance and Issuing Activity

- (A) ID cards for active duty officers, retired officers, and dependents of active duty and retired officers, are issued by authorized Real Time Automated Personnel Identification System (RAPIDS) facilities. RAPIDS facilities can be found at <https://idco.dmdc.osd.mil>.
- (1) Active duty officers are required to present two forms of acceptable identification as listed on Form I-9; select a unique pin number and electronically sign DD Form 2842, DoD Public Infrastructure Certificate of Acceptance and Acknowledgement of Responsibility, prior to being issued a CAC at an authorized RAPIDS facility.
 - (2) Retired officers are required to present two forms of acceptable identification as listed on Form I-9, and if required, provide documentation to verify eligibility (retirement letter or orders) prior to being issued a USID Card at an authorized RAPIDS facility.
 - (3) Eligible family members, of active duty or retired officers are required to present DD Form 1172-2, signed by the active duty or retired officer, provide two forms of acceptable identification as listed on the Form I-9, and documentation, if required, to verify eligibility (birth certificate, marriage certificate, court document, etc.). An electronically signed DD Form 1172-2 is also acceptable and can be completed in ID Card Office Online (<https://idco.dmdc.osd.mil/idco>).
 - (4) If an ID card is lost, stolen, mutilated, worn, or incorrect, replacement cards may be issued at an authorized RAPIDS facility with proper documentation. For lost or stolen CAC cards, a memo signed by NOAA's Office of Security or a police report along with two forms of acceptable identification as listed on the Form I-9, will be required prior to reissuance of CAC.
- (B) Any person willfully altering, damaging, lending, counterfeiting, or using ID cards in any unauthorized manner is subject to fine or imprisonment or both. ([18 U.S.C. § 499](#), [506](#), [509](#), [701](#), and [1001](#))

01504 – Emergency and Entitlement Documentation

- (A) Record of Emergency Data, NOAA Form 56-14, provides a current record of personal data for each officer. This record permits NOAA to assist the officer or the officer's family in recording changes in personal status or in handling emergency situations when updated data has legal implications. Each active NOAA Corps officer shall:
- (1) Annually complete and submit a Record of Emergency Data to CPC; and
 - (2) Complete and submit a new Record of Emergency Data when a change in prior submission occurs as indicated in NCD (B).
- (B) When a change in entitlement status occurs, each officer shall submit documentation of the change to CPC and then take the appropriate steps, if applicable, to obtain identification cards for any new dependents. The following is a list of acceptable documentation of changes to dependency data:
- (1) Certified copy of marriage certificate;

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- (2) Certified copy of annulment court order;
- (3) Certified copy of divorce decree or court orders;
- (4) Certified copy of legal separation or court order including settlement agreements;
- (5) Certified copy of birth certificate;
- (6) Certified copy of adoption papers;
- (7) Certified copy of death certificate;
- (8) Updated Record of Emergency Data;
- (9) BAH Dependency Data Form (USCG Form 4170), if the officer believes entitlement to basic allowance for housing (BAH) at the with-dependent rate accrues. If a dependent is also an officer of a uniformed service on active duty, that fact and whether the dependent is drawing BAH at the with-dependent rate shall be indicated;
- (10) Servicemembers' Group Life Insurance Election and Certificate, or (SGLV 8286), if a change in the previously designated beneficiary is desired;
- (11) Application for Uniformed Services Identification, (DD Form 1172), to obtain a dependent's identification card. Identification cards for officers or dependents that become ineligible for previously issued cards shall be forwarded immediately to the NOAA Service Project Officer.

01505 – Address Policy

- (A) A NOAA Corps officer's address is recorded officially for the following purposes:
 - (1) To communicate with him or her whenever necessary;
 - (2) To establish a Home of Record (HOR) and place from which ordered to active duty to determine entitlement to travel and transportation allowances; and
 - (3) To determine place of residence for State income tax withholding.
- (B) For purposes of these directives, the following definitions apply:
 - (1) Mailing Address is the address where a NOAA Corps officer can be reached at any time by ordinary mail. For a NOAA Corps officer on active duty, the mailing address normally is the place of duty. For a retired officer, it is the place of residence.
 - (2) Home of Record (HOR) is the place recorded as the home of a NOAA Corps officer when ordered to active duty. It is used primarily to determine travel and transportation allowances or other compensations provided by law upon entry and separation.
 - (3) Place from Which Ordered to Active Duty is the location where a NOAA Corps officer receives and executes orders to active duty. It is used primarily to determine travel and transportation allowances or other compensations provided by law upon entry and separation.
 - (4) State of Legal Residence is that place that is the legal domicile of a NOAA Corps officer. NOAA Corps officers retain the domicile they had upon entering service unless they

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have by overt actions manifested that they have elected to establish a domicile elsewhere.

- (5) Liability for State and local income taxes is determined on the basis of State law. The Service members Civil Relief Act overrides a State's sovereignty only to the extent that it protects a NOAA Corps officer from double taxation.

01506 – Address Reports

- (A) Immediately upon reporting to active duty, a NOAA Corps officer shall complete NOAA Form 56-18 (Report of Home of Record (HOR) and Place from Which Ordered to Active Duty). Because the information recorded on this form is used in adjudicating entitlements to travel and transportation allowances, extreme care should be exercised in its completion. In some instances, a NOAA Corps officer's HOR and the Place from Which Ordered to Active Duty may be the same. If a NOAA Corps officer considers one location to be his or her "permanent home," but resides in another place for the sole purpose of attending school or for summer employment, the NOAA Corps officer may consider the "permanent home" as the HOR.
- (B) The place recorded as HOR cannot be changed during a tour of active duty. A NOAA Corps officer's subsequent decision to sever connections with the HOR does not alter the fact that, by definition, the place recorded was the HOR when ordered to active duty. A correction to HOR may be authorized when, through a bona fide error, the place recorded was not the actual home of the NOAA Corps officer. Any request for correction of HOR must be submitted to the Director, CPC, together with evidence substantiating that the place to be designated was the actual home at the time of reporting for active duty.

01507 – Mailing Address

- (A) Mailing addresses for active-duty officers are determined by their assignment orders. These addresses are used to communicate official correspondence.
- (B) Active NOAA Corps officers and retired officers shall notify the Director, CPC, and the U.S. Coast Guard Pay and Personnel Center (PPC) of any change in their mailing address.

01508 – State Income Tax

- (A) Government agencies withhold State income tax from the pay of persons claiming legal domicile in states that levy taxes on the income of their citizens. NOAA Corps officers are required to complete a State of Legal Residence Certificate (DD Form 2058 (CG)). The home address required on this form is the NOAA Corps officer's legal residence within the State to which they are obligated to pay any income tax due. At the end of each tax year, a copy of the NOAA Corps officer's Internal Revenue Service Form, W-2, Wage and Tax Statement, is forwarded to the State taxing authority indicated by the home address indicated on the certificate.
- (B) NOAA Corps officers who are legal residents of states requiring Government agencies to withhold State income tax from pay must furnish CPC with the appropriate State withholding exemption certificate.

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01601 – Official Personnel Records Management

(A) General

- (1) This directive establishes policy and prescribes procedures for administering the NOAA Corps Officer Personnel Records System (paper and electronic records), applicable to active duty officers. Commissioned Personnel Center (CPC) assumes responsibility for documents originating from the Director, Director, CPC, or CPC personnel. NOAA Corps officers are responsible for ensuring their individual Official Personnel Folders (OPF) contain current, complete, and legible information.
- (2) Officer Personnel Records (OPRs) consist of permanent documents that contain information about the officer's career with NOAA Corps. Such documents include information about accession, training, education, performance, discipline, decorations and awards, assignments, and separation/retirement of an officer in the NOAA Corps.
- (3) Officer Medical Records (OMRs) consist of all documentation pertaining to the NOAA Corps officer's medical history while on active duty status. This documentation includes periodic physical examinations, medical treatment notes and reports, laboratory reports, imaging studies, immunizations, dental care, and fitness for duty memos. Officer Medical Records shall be maintained separately from Officer Personnel Records and OMRs may not be placed in the OPF at any time for any reason.

(B) Definitions

- (1) Records are all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them. ([44 U.S.C. § 3301](#))
- (2) Official Personnel Folders (OPFs) – There are two official personnel folders which contain records that relate to the supervision over and management of NOAA Corps officers. These folders are the Officer Personnel Folder (OPF) and the Officer Medical Folder (OMF).
- (3) OPF Online – A secure electronic method of submitting personnel and medical documents that are uploaded into the officer's personnel or medical folders. The approved and/or updated document is scanned or (for digital documents) transferred into the officer's folder. All personnel using or maintaining OPF Online and preparing associated documents must maintain the security and integrity of the records and documents at all times. Documents must be legible PDF copies or originals for imaging into the electronic system. This system is not authorized to accept personnel pay documentation. Pay documents should be forwarded to NOAA Corps Payroll.
- (4) The National Archives and Records Administration (NARA) administers the Federal Records Management Program. NARA's regulations on records creation, maintenance, and disposition are in [Chapter XII of Title 36](#), Code of Federal Regulations.

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01602 – Creation and Safeguarding of Personnel Records and Folders

- (A) Creation of Records – Personnel records and folders must be created as they are required by law, Executive Order, regulation, operational guidance from central management agencies and/or agency records management programs. The Director, CPC, is responsible for ensuring that records are managed in accordance with applicable laws, including the Privacy Act of 1974, as amended (5 U.S.C. § 552a) and these Directives.
- (B) Records Management
- (1) The Privacy Act applies to records under the control of an agency about an individual, such as employment history, that contain the individual's name or some other item that identifies that person, and from which information is retrieved by the name or other particular assigned to the individual (e.g., The Privacy Act applies to the Official Personnel Folders).
 - (2) The Director, CPC, must ensure personnel records subject to the Privacy Act are secured against unauthorized access. For example, paper or microfiche/microfilmed personnel records subject to the Privacy Act are required to be stored in locked metal file cabinets or in a secured room. All digital official medical records are stored in an electronic remote system and meet the HIPAA security standards for electronic medical records (EMR).
 - (3) Access to personnel records subject to the Privacy Act will be limited to those whose official duties require such access. This limitation applies to paper, microfiche/microfilm, and electronic records. Medical and behavioral health officers assigned to NOAA shall have direct access to NOAA Corps officers' personal health information (PHI) and EMR for fitness for duty determinations, case management of active medical conditions, to maintain and update medical documentation, or to communicate medical information on behalf of the officer.
 - (4) The Director, CPC, will establish procedures to allow officers or their designated representative(s) access to their OPRs contained in their OPF. Officers may access their records electronically via the CPC website using their NOAA email account user name and password. Officers shall contact OMAO's Medical Affairs to request copies of their OMRs. These copies are sent to officers via approved secure messaging.
 - (5) Director, CPC must ensure those authorized to access personnel records subject to the Privacy Act understand how to apply the Act's restrictions on disclosing this information. See NCD 06107 of this chapter for instructions regarding requests for release of information from personnel records.
 - (6) All personnel must exercise care to prevent unauthorized disclosure and ensure documents are properly disposed of by shredding or other secure disposal methods so that they are unreadable, indecipherable, and irrecoverable (see [32 C.F.R. 2002.14\(f\)\(2\)](#)).

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- (7) All records eligible for disposal containing Controlled Unclassified Information (CUI) must be properly shredded to ensure the information is unreadable, indecipherable and irrecoverable
 - (8) All Record disposals must be documented on the NOAA [Records Destruction Request form](#) approved by the OMAO Records Liaison Officer
 - (9)
- (C) Safeguarding Personnel Records
- (1) Director, CPC shall ensure personnel records:
 - (a) Adequately document human resource management decisions;
 - (b) Are accurate and updated in a timely manner;
 - (c) Are protected against loss or unauthorized alteration;
 - (d) Document the service record and history of members of the NOAA Corps;
 - (e) Can be located when necessary; and
 - (f) Are retained and disposed of as required by NOAA Filing – Disposition Handbook and NARA.
 - (g) Are maintained in accordance with the Department/NOAA Controlled Unclassified Information Policy. All records eligible for disposal containing CUI must be properly shredded.
 - (2) OPM’s regulations on privacy procedures for personnel records are located in [Title 5, Part 297](#) of the Code of Federal Regulations. The material in this chapter summarizes those regulations as general guidance.
 - (3) The Department of Commerce regulations on access to the records are located in [Title 15 Part 4](#) of the Code of Federal Regulations. The requirements for access are incorporated here by reference.
- (D) Disciplinary Action – Any employee who discloses, without proper authorization, any information from an officer’s Official Personnel Folders may be subject to disciplinary action. In addition, employees who violate any statutory provisions, including violations of the Privacy Act, are subject to the penalties outlined in those respective statutes.

01603 – Establishment and Maintenance of Folders

- (A) When an applicant is hired into the NOAA Corps, CPC personnel will create the following Official Personnel Folders:
- (1) Officer Personnel Folder – Paper (OPF-P)
 - (2) Digital Officer Personnel Folder (OPF)
 - (3) Digital Officer Medical Folder (OMF)

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- (B) If the officer is an inter-service transfer, the personnel and medical records that document the individual's uniformed service career are consolidated and merged into the Official Personnel Folders as prescribed in this directive.
- (C) Folder Labels
- (1) The Officer Personnel Folder – Paper is placed on the right side of the folder. The label must have the following items in the order set forth below.
- (a) NAME: The officer candidate's or officer's name appears on the folder exactly as is on his/her Temporary Appointment Certificate or Commission. (Last Name, First Name and Middle Initial) (e.g. DOE, JOHN R.)
- (b) SOCIAL SECURITY NUMBER: The officer's last four digits of their social security number (SSN) is listed directly under the name.
DOE, JANE R.
SSN: 9999
- (2) The digital Officer Medical Folder is labeled as follows:
- (a) NAME: The same as required for the Officer Personnel Folder (Last Name, First Name and Middle Initial)
- (b) SOCIAL SECURITY NUMBER: The officer's last four digits of their social security number.
- (c) DATE OF BIRTH: The officer's full date of birth (DD-MM-YYYY)
DOE, JANE R. SSN: 9999 DOB 99999999
- (D) Marks or Notations on Folders – Do not make any marks or notations on the Official Personnel Folders. Only official codes authorized by NARA's National Records Center are permitted on the front of the folders. Official authorized codes can be found at <http://www.archives.gov/frc/>.

01604 – General Filing Procedures Introduction

- (A) Appropriate personnel records are filed in the Official Personnel Folders to document events that have long-term significance for the NOAA Corps officer and the Government. These records consist of both electronic and paper documents. Care is exercised in filing documents correctly, ensuring all documents pertaining to an officer's rights and benefits are available at all times.
- (B) Documents are filed in the Official Personnel Folders that are either long-term or temporary.
- (C) All documents filed in the digital Officer Medical Folder are long-term. All officer medical documentation shall be maintained in the officer's official medical folder.

01605 – Document Types

- (A) Long-term documents are documents kept for the life of the folders, usually 115 years from the officer's date of birth. These documents are filed in chronological order in the appropriate

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section of the personnel folder. (e.g. appointment affidavits, commissions, and evaluations) (OPM Guide to Personnel Recordkeeping).

- (B) Temporary documents are documents that are not kept for the life of the personnel folders. These documents are filed in the appropriate section of the personnel folder and are removed or replaced as necessary (e.g., Servicemembers' Group Life Insurance (SLGI) elections, and Record of Emergency Data forms).
- (C) Prohibited documents are records that must never be placed in a personnel folder. The prohibition may come from law, such as the Privacy Act, or from regulation such as Title 29 of the Code of Federal Regulations. Medical records are prohibited documents and must never be placed in a personnel folder.
- (D) Rescinding filing requirements are document filing requirements that are cancelled as of a given date. When filing requirements are rescinded, the document(s) should no longer be filed in the personnel folders.

01606 – Official Personnel Folder Structure

- (A) Officer Personnel Folder – Paper Structure (OPF-P)

Section 1: Original, Certified Copy or Notarized Documents

marriage certificate(s)
 birth certificate(s)
 annulment court order
 divorce decree or court orders, including interlocutory decrees and
 any settlement agreements
 legal separation or court order including settlement agreements
 adoption papers
 death certificate

- (B) Digital Officer Personnel Folder Structure (OPF)

Section 1: Career Documentation

Temporary Appointment Certificate
 Commission(s)/Promotion Letter(s)
 Temporary Promotion Certificate
 Constructive Credit Memorandum
 Advanced Standing Correspondence
 Lineal Placement Correspondence
 Personal Biography (most recent only)
 Officer Personnel Board (OPB) Notifications
 Board Membership Memorandum(s) (OPB, UAB, AAB)

Section 2: Education and Training

Official School Transcripts (transcripts evidencing Degree
 Completion)
 Degree Certificates
 Professional Licenses

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Designation Letters/Revocation Letters (OOD, Aviation, Diver, etc.)
Approved Training Course Certificates
Promotion Training Requirement Waiver/Substitution Letters
Part-Time University Training (PUT) Correspondence
Full-Time University Training (FUT) Correspondence (rescinded)

Section 3: Performance

Officer Evaluation Reports (OER) and related correspondence
Awards/Insignia
Official Letters of Appreciation/Commendation/Recognition
Sea Service Award Worksheets
Disciplinary Letters and Actions
Detachments for Cause

Section 4: Accession and Separation

Application for Appointment
Appointment Affidavit/Oath of Office
Drug Testing Acknowledgement
Service Active Duty Agreement(s)
Home of Record
State of Legal Residence
Notification of Security Clearance
Resignation/Retirement Requests/Approvals/Withdrawals
Discharge Form (DD Form 214) (All Services)
Discharge Form (NOAA Form 56-16)
Servicemembers' Civil Relief Act Acknowledgement (SCRA)

Section 5: Assignment

Permanent Change of Station Orders (PCS)
Permanent Change of Assignment Orders (PCA)
Temporary Duty Orders to Ships and Aircraft (TDY)
Detail Assignment Packages/Memorandum
Acting Commanding Officer, Executive Officer Operations Officer
Letters

Section 6: Personal and Dependency

Record of Emergency Data Form (most recent only) (NOAA Form 56-14)
Original/Certified Copies of Birth Certificates
Original/Certified Copies of Marriage Certificates
Divorce Decree/Court Order Documents
Application for Uniformed Services Identification and Privilege Card (DD Form 1172-2) (most recent only)
Servicemembers' Group Life Insurance Election (SGLI) (most recent only)
Survivor Benefit Plan Election
Letters of Condolence
Change of Home Address Documentation

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Name Change Request/Approval Memorandums

(C) Digital Officer Medical Folder (OMF)

Section 1: Medical Care, History, Exams

Exam Checklist
 History and Physical, Aviation/Dive Physical
 Audiology
 Spirometry Results
 NOAA Respirator Medical Evaluation Questionnaire (NOAA Form 57-1702)
 Physical Condition Certification
 Medical Review Board/Medical Waiver(s)

Section 2: Treatment, Consults, Prescriptions

Specialty/Consultations/Eyewear Prescription
 Surgery/Emergency Care/Urgent Care

Section 3: Laboratory Reports**Section 4: Imaging Studies**

Radiological Consults/Reports

Section 5: Electrocardiograms

Electrocardiography (EKG) Tracings/Reports

Section 6: Miscellaneous, Immunizations

Medical Record Release/Privacy Act Disclosure
 Risk Factor Screening/Physical Readiness
 Immunization Record
 Other Relevant Information

Section 7: Dental**Section 8: Correspondence**

Fitness for duty memos and other correspondence documentation

01607 – Requests for Information

(A) General

- (1) This section covers requests for information from the Officer Personnel Folder and Officer Medical Folder. These records are covered by the Privacy Act and by Government wide systems of records published by the Office of Personnel Management (OPM). A variety of people seek personnel information regarding NOAA Corps officers. Responses to such requests (e.g., the amount and type of information that can be provided) depend on the nature of the request and the person making the request.
- (2) The requirements of this section allow for simplified request procedures for records. However, these procedures do not replace the formal Privacy Act access provisions of [5](#)

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[U.S.C. § 552a\(d\)\(1\)](#) or the Departmental regulations governing Privacy Act access pursuant to [15 C.F.R. 4.24](#). Those regulations are incorporated here by reference, and members may rely on those regulatory procedures to seek access to records under this section, including the remedies contemplated in those regulations.

- (3) This section does not cover requests for information developed from other records systems like payroll records. For pay related questions, please contact NOAA Corps Payroll, noaacorps.payrollunit@noaa.gov.
- (B) Request from NOAA Corps Officer
- (1) An officer's physical, hard copy Official Personnel Folders must be made available to the officer for review upon request. Officers are required to present proper identification before personnel folders are provided to them. Officers may authorize, in writing, a representative to view their records. Representatives must be accompanied by the officer.
 - (2) Officers or their representatives reviewing their own folders must be accompanied by CPC personnel at all times.
 - (3) Officers may obtain digital copies of their personnel folders at any time. A digital copy is presented to NOAA Corps officers upon their separation from the Corps.
- (C) Request from Former NOAA Corps Officer
- (1) Former officers may receive copies of their own personnel and medical folders. Requests for copies must be made in writing and should include: the full name (or names) used while employed; social security number; date of birth and year of separation.
 - (2) Requests for individual documents, or for complete copies of personnel and/or medical folder(s), must be sent to CPC. CPC will then request the records from NARA's National Records Center on behalf of the former officer. This request can take up to four weeks for CPC to obtain the officers' records.
- (D) Request from Government Officials
- (1) Officers and Employees of the Agency
 - (a) Personnel and medical folders are available to officials within the agency who need access to the records to perform their assigned official functions. This includes access to records in Official Personnel Folders, whether those records were created under OPM's recordkeeping authority or not. Agency officials include human resource specialists, medical officers, managers, and supervisors.
 - (2) Officials outside the Agency
 - (a) Officials outside the agency may be authorized access to an officer's folders if:
 - (i) The officer has authorized such access in writing;

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- (ii) The release is specifically authorized by the Privacy Act; or
 - (iii) Routine use published in the Bureau, Department, or Government-wide systems of records allows disclosure of the records.
 - (b) An officer may authorize officials outside his or her employing agency to review or receive copies of his or her records. Such an authorization must be in writing.
 - (c) Requests from officials outside the employing agency for records in a merged Official Personnel Folder that was not created under OPM's recordkeeping authority should be honored only if the requestor has the officer's written consent to release the information. All other requests should be referred to the agency that created the record.
- (E) The Privacy Act – The Privacy Act authorizes the release of records to officials outside the agency under specific circumstances. Some of these include releases to:
 - (1) The National Archives and Records Administration (NARA);
 - (2) Either chamber of Congress
 - (3) The Comptroller General or his authorized representatives performing the duties of the General Accountability Office; or
 - (4) The order of a court of competent jurisdiction.
 - (5) Any releases contemplated under the Routine Uses of the applicable System of Records Notices.
- (F) Request from the Public
 - (1) Requests from the public for information from personnel and medical folders must be handled in compliance with both the Privacy Act of 1974 and the Freedom of Information Act (FOIA, [5. U.S.C. § 552](#)). The Privacy Act restricts access to records in a system of records. The Freedom of Information Act establishes the public's right to information contained in Government records. Agencies are authorized to respond to requests for information from the public on all Official Personnel Folders in their possession. Requests for information about an individual without that individual's consent are to be handled in accordance with the FOIA, and are not subject to the same access, amendment, or other Privacy Act provisions.
 - (2) An officer may consent to authorize the release of information to a member of the public, including an organization. That authorization must be in writing.
- (G) Routine Use
 - (1) OPM has published notices for Government-wide SORNs that cover the Officer Personnel Folder (OPM/GOVT-1) and the Officer Medical Folder (OPM/GOVT-10) records. These notices include descriptions of routine uses that allow release of records to specific officials outside the employing agency for specific purposes without the officer's prior written consent. Some of the routine uses that apply to Official Personnel Folders allow records to be provided to:

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- (a) The Merit Systems Protection Board, Office of Special Counsel or Equal Employment Opportunity Commission in relation to appeals, investigations, and special studies.
 - (b) Any Federal agency involved in a legal or administrative proceeding in which the Government is a party; any Federal agency in relation to hiring an officer, issuing a security clearance, conducting a security or suitability investigation; Federal, state, or local agencies to adjudicate a claim under any retirement, insurance, unemployment, or health benefits program.
- (2) In limited cases, information may be released outside of the agency under one of the routine uses applicable to the folder and published in the Government-wide systems of records notice (SORN). Routine uses allow agencies to provide information from Official Personnel Folders to:
- (a) Contractors, grantees, or volunteers working for the Government.
 - (b) Prospective non-Federal employers who ask for the former officer's tenure, length of service, or date and nature of action on the officer's separation.
 - (c) Other individuals or entities the Department determines are necessary that are included in the published list of routine uses for any governing System of Records Notice.
- (3) Do not provide an officer's social security number or date of birth in response to a request for information from the public. Check with the agency Privacy Act or FOIA Officer before providing social security numbers to a requester as they may only be provided to the requester in limited circumstances.
- (H) Available Information
- (1) In most cases, the following information is available to the public without the prior written consent of the officer(s):
- (a) Name;
 - (b) Present and past position titles;
 - (c) Present and past grades;
 - (d) Present and past annual salary rates;
 - (e) Current business contact information;
 - (f) Present and past duty stations (does not include room numbers, shop designations, or other identifying information regarding buildings or places of employment); and
 - (g) Position descriptions, identification of job elements, and those performance standards (but not actual summary ratings) the release of which would not interfere with law enforcement programs or severely inhibit agency

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effectiveness. Performance elements and standards (or work expectations) may be withheld when they are so intertwined with performance appraisals that their disclosure would reveal an individual's summary rating. ([5 C.F.R. § 293.311](#))

- (2) The above data may be withheld if the disclosure would reveal more about an individual on whom information is sought than the listed items, creating a clearly unwarranted invasion of personal privacy or if the data is otherwise protected from mandatory disclosure under a FOIA exemption or other law.
 - (3) Check with the agency Privacy Act or FOIA Officer when unsure whether records may be disclosed.
- (I) Making Privacy Act Inquiries – The Privacy Act contemplates allowing individuals to inquire as to whether or not the Agency maintains records about him or herself within a System of Records. All Privacy Act inquiries must be submitted in accordance with [15 C.F.R. 4.23](#), and must be routed to the NOAA Privacy Act Officer as outlined in those regulations.
- (J) Accounting of Disclosure from Personnel Records – The Privacy Act requires that agencies keep a record of any information they have provided from systems of records covered by the Act. These records of what information was provided to whom and when are called accountings of disclosures.
- (1) Content of accounting of disclosure. An accounting of disclosure must include the following information: the date, nature, and purpose of each disclosure of a record to any person or to another agency, and the name and address of the person or agency to whom the disclosure is made.
 - (2) Filing an accounting of disclosure. An accounting of disclosure from the Official Personnel Folders must be retained for the life of the record. Any accounting of disclosure of information must be filed as a long-term record in the personnel folder.

01608 – Amendment Requests

- (A) The amendment of Official Personnel Folders is defined as:
- (1) Changing any incorrect data.
 - (2) Removing records inappropriately filed in a folder.
 - (3) Adding missing records that should be in a folder.
- (B) Officers are not required to use the formal Privacy Act amendment process to have their records corrected. CPC is responsible for ensuring that the records are accurate and for making any necessary corrections as soon as possible. However, Officers may choose to follow the Amendment procedures outlined in [15 C.F.R. 4.27](#), including any remedies contemplated under the Privacy Act.
- (C) Amendment request procedures are designed to ensure the records contain accurate information, not as a method to challenge the NOAA Corps' application of its personnel procedures.

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- (D) CPC prescribes procedures for submitting and processing amendment requests to Official Personnel Folders. Responses to amendment requests should be in writing.
- (E) Active Duty and former officers may also submit requests to amend records to the Director, Commissioned Personnel Center. Requests to amend records, whether submitted through the Privacy Act amendment process or to the Director, Commissioned Personnel Center, must be in writing and should:
- (1) Include the information needed to identify the officer's records (full name, and date of birth);
 - (2) Identify the records and data believed to be incorrect;
 - (3) Identify any records believed missing from a folder;
 - (4) Identify any documents believed inappropriately filed in a folder;
 - (5) Explain why the identified items are not correct or complete; and
 - (6) Explain what the correct content of the documents should be.

In processing amendment requests, the agency should ensure that any amendments comply with the Office of Personnel Management's (OPM) recordkeeping procedures and regulations in [Title 5, Part 297, Subpart C](#) of the Code of Federal Regulations.