

NOAA CORPS OFFICER
EVALUATION SYSTEM
INSTRUCTION MANUAL

OFFICER EVALUATION SYSTEM INSTRUCTIONS

Table of Contents

| <u>Section</u> | <u>Page(s)</u> |
|--|-----------------------|
| 10.A.1 General | 3 |
| 10.A.1.a. Purpose | 3-4 |
| 10.A.1.b. Glossary | 4-5 |
| 10.A.2 Responsibilities | 5 |
| 10.A.2.a. Rating Chain | 5-8 |
| 10.A.3 Preparation and Process of Officer Evaluation Reports | 8 |
| 10.A.3.a. Forms | 8 |
| 10.A.3.b. Officer Evaluation Report for Lieutenant through Captain | 8-9 |
| 10.A.3.c. Officer Evaluation Report for Ensign through Lieutenant (junior grade) | 9-10 |
| 10.A.3.d. Officer Evaluation Report for Admirals | 10-11 |
| 10.A.3.e. Officer Support Form | 11-12 |
| 10.A.4 Rules for Completing Officer Evaluation Reports | 12 |
| 10.A.4.a. Administrative Rules for Officer Evaluation Report Forms | 12-13 |
| 10.A.4.b. Constructing Effective Officer Report Comments | 13-15 |
| 10.A.4.c. Officer Evaluation Report Restrictions | 15-16 |
| 10.A.4.d. Reviewer Comments | 17 |
| 10.A.4.e. Duty Under Instruction Officer Evaluation Reports | 17-18 |
| 10.A.5 Instructions for Completing Officer Evaluation Forms | 18 |
| 10.A.5.a. Part 1 – Instructions for Completing NOAA Form 56-6A, Officer Evaluation Report (Lieutenant – Captain) | 18-24 |
| 10.A.5.b. Part 2 – Instructions for Completing NOAA Form 56-6E, Officer Evaluation Report (Ensign – Lieutenant (junior grade)) | 25-30 |
| 10.A.5.c. Part 3 – Instructions for Completing Duty Under Instruction (DUINS) Officer Evaluation Reports | 30-31 |
| 10.A.5.d. Part 4 – Instructions for Completing NOAA Form 56-6B, Reviewer Comments | 31-32 |
| 10.A.5.e. Part 5 – Instructions for Completing NOAA Form 56-6C, Officer Support Form (OSF) | 33-35 |
| 10.A.5.f. Part 6 – Instructions for Completing NOAA Form 56-6F, Admiral Evaluation Report (AER) | 35-38 |
| 10.A.6 Instructions for Processing Officer Evaluation Forms | 38 |
| 10.A.6.a. Processing of Officer Evaluation Reports at Commissioned Personnel Center (CPC) | 38-40 |

OFFICER EVALUATION SYSTEM INSTRUCTIONS

10.A.1. GENERAL

The Director, Commissioned Personnel Center (CPC), is responsible for managing and ensuring the integrity of the NOAA Corps Officer Evaluation System (OES) for all NOAA Corps officers.

10.A.1.a. PURPOSE

A. The NOAA Corps Officer Evaluation System (OES) has been designed to:

1. Provide information for important personnel management decisions. Especially significant among these decisions are promotions, assignments, and career development.
2. Set performance and character standards to evaluate all officers up to the rank of admiral. Admirals are evaluated under a separate Report, known as the Admiral Evaluation Report (AER), which is administered by the Deputy Under Secretary for Operations.
3. Support NOAA's commitment to a results oriented performance culture through a performance management system that differentiates between high and low levels of performance and links individual, team and unit performance to DOC, NOAA and OMAO goals and desired results.
4. Provide a means of feedback to determine how well an officer's performance and results are measuring up to the standards.

B. The NOAA Corps OES goals are:

1. Personnel Management – The OES is an important part of the NOAA Corps officer personnel management system. It supplies information to the Director for personnel management decisions in a variety of areas.
2. Promotion – Throughout their careers, NOAA Corps officers are reviewed for promotion to the next grade by Officer Personnel Boards (OPBs). The cumulative file of officer performance evaluations provides one of the bases for selection of the best qualified officers from among those eligible.
3. Assignment – Prior performance, personal qualities, and potential for increased responsibilities, as documented in the Officer Evaluation Reports (OERs) contained in each officer's Official Personnel Folder (OPF), are important considerations in recommendations made by Officer Assignment Boards (OABs). While a number of other factors such as billet requirements, experience, personal desires, and availability are also considered, the high level of competition for many assignments places even greater emphasis on performance.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

4. Career Development – Career development is a cooperative process that seeks to meet immediate and future NOAA needs while satisfying the personal and professional aspirations of individual officers. The OES is a vehicle for performance feedback and career counseling by the rating chain and CPC.
5. Command and Control – The OES can assist supervisors in delineating lines of authority and responsibility, and providing a common understanding of officer responsibilities; this reinforces command authority by providing a clear delineation of the span of control and responsibility.
6. Maintenance of service standards and a high level of professionalism – As a member of a Uniformed Service, each officer is evaluated in the OES, not only regarding job achievements, but also on leadership skills, personal and professional qualities and Service commitment.
7. Strategic Alignment – Ensure officers are knowledgeable about their roles in supporting the agency's mission and strategic plans by effectively linking officer performance to organizational goals and objectives.

10.A.1.b. GLOSSARY

The following terms apply to the OES:

- A. Above Standard – Describes exceptional or superlative performance.
- B. Below Standard – Describes performance not measuring up to the benchmark expected level. The benchmark level can be found in the middle column of each skill set rating (equivalent to a 4).
- C. Disqualified – Includes relief for cause due to misconduct or unsatisfactory performance, being an interested party to an investigation or court of inquiry, or any other situation in which a personal interest or conflict on the part of the supervisor, reporting officer, or reviewer raises a substantial question as to whether the rated officer will receive a fair, accurate evaluation.
- D. Evaluation Areas – The four major performance categories into which all performance dimensions are grouped, which include Performance of Duties, Communication Skills, Leadership Skills, Personal and Professional Qualities.
- E. Officer Evaluation Reports (OER) – Form NOAA Forms 56-6A, 56-6E, 56-6F and/or 56-6B, used to document NOAA Corps officers' performance and potential.
- F. Officer Evaluation System (OES) – The NOAA Corps system which addresses the performance appraisal of officers up to the rank of admiral.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- G. Officer Support Form (OSF) – NOAA Form 56-6C. The optional worksheet used to describe duties, establish goals, document accomplishments, and facilitate performance feedback.
- H. Performance Dimensions – The attributes by which the NOAA Corps evaluates its officers (e.g., writing, judgment, responsibility, etc.).
- I. Performance Feedback – Performance feedback is the process that occurs whenever a rated officer receives advice or observations related to their performance in any evaluation area. Performance feedback can take place formally (e.g., during a conference) or informally (e.g., through on-the-spot comments).
- J. Performance Standards. – The prescribed expectation levels within each performance dimension. The standards are written to provide a common frame of reference among rating officials to which an officer's observed performance and qualities may be compared. Each dimension has three separate written standards of performance.
- K. Rating Chain – The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER. The rating chain consists of the rated officer, supervisor, reporting officer, and reviewer.
- L. Standard – Describes the level of performance expected of all NOAA Corps Officers.
- M. Unavailable – Includes illness, injury, death, prolonged absence, transfer, separation from the Service, retirement, or any other situation which prevents or substantially hinders the supervisor, reporting officer, or reviewer from properly carrying out their rating chain responsibilities.

10.A.2 RESPONSIBILITIES

10.A.2.a. RATING CHAIN

- A. The rating chain is composed of individuals who are in a position to evaluate the rated officer's performance, potential, and development. The roles in a rating chain typically follow organizational hierarchies. Given the diversity of NOAA programs and their associated structures, rating chains may vary. (See NCD Chapter 4, Part 4, 04403)
- B. The Rating Chain shall:
 - 1. Provide an accurate assessment of the rated officer's current performance, future potential, and value to the NOAA Corps.
 - 2. Ensure timeliness of reporting.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- D. The Supervisor is the individual from whom the rated officer typically received the majority of his/her decision and assignments, along with his /her OER/performance evaluation. The Supervisor shall:
1. Ensure performance feedback is given to the rated officer and address issues as they occur so that proper guidance may be given and/or corrective action taken early to ensure standards of performance are maintained.
 2. Provide a new supervisor with a draft of OER Sections two through six, when the supervisor changes during a reporting period. The draft shall be prepared and signed by the departing supervisor prior to departure.
- E. The Reporting Officer is typically the second level supervisor. The Reporting Officer shall:
1. Base evaluation on direct observation, material contained in the OSF, or other information provided by the supervisor, and other reliable reports and records.
- F. The Reviewer is typically the supervisor of the reporting officer, equivalent to the third level supervisor, or the Line Office Liaison Officer. The reviewer may be junior to the reporting officer. The Reviewer shall:
1. Ensure the OER is a fair and accurate record of the rated officer's performance and potential.
 2. Submit the completed OER through the OER Administrator to arrive at CPC no later than 15 calendar days after receipt from the reporting officer.
- G. The OER Administrator is typically the Line Office Liaison Officer, Center Commanding Officer, NOAA Corps Director, or their designee. The Administrator shall:
1. Ensure timely OER submission for those officers under his or her administrative jurisdiction. A tracking system is encouraged. The OER Administrator shall ensure the Director, CPC receives OERs with either original ink or CAC-enabled signatures, no later than 45 days after the end of reporting periods.
 2. Establish a system to ensure OERs for those officers eligible for promotion and/or Board action are not delayed and arrive at CPC in time to conduct a thorough quality review prior to Board deliberations.
 3. Conduct an administrative review of the OER for compliance with this Instruction Manual.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

4. Make minor administrative corrections without returning the OER to the rating chain, however, may return an OER to the reviewer if it contains a substantive error.
- H. Officer Evaluation System (OES) Administrator – Within CPC, the Chief, Officer Career Management Division (OCMD), and their staff members shall:
1. Process received OERs into a tracking and notification system.
 2. Ensure completeness and accuracy of OERs with emphasis on the correlation between numerical scores and written comments.
 3. Verify OER reporting periods represent a continuous record of an officer's service time.
 4. Conduct a thorough administrative and quality control review of the OER to include:
 - a. Minor administrative corrections without returning the OER to the rating chain.
 - b. Validate an OER when it is determined the report has met the requirements of the OES.
 - c. Invalidate an OER when it is determined the report has not met the requirements of the OES.
 - d. Notify rated officers, typically via automatically generated email, when their OER has been validated and scanned into their OPF online.
 - e. Notify the rating chain, typically via automatically generated email, when an OER has been invalidated.
 - f. Counsel members of the rating chain to correct deficiencies identified in an invalidated OER.
 - g. Implement corrective measures to OER content, with the consent of the rating chain, balancing timeliness and quality to expedite the validation process.
 5. Notify officers eligible for promotion or subject to personnel board action of OER submittal deadlines.
 6. Respond to questions related to the OES policy.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

7. Provide OER training, subject to resource availability.
8. Develop and implement OES changes to maintain a robust evaluation system.
9. Maintain the integrity of records that comprise the OES.
10. Respond to individual inquiries and requests related to those records, including missing copies of OERs and requests for correction of records.
11. The OES Administrator may invalidate a previously validated OER and initiate corrective action prior to inclusion of an OER in the rated officer's OPF.

10.A.3 PREPARATION OF OFFICER EVALUATION REPORTS (OER)

10.A.3.a. FORMS

The following forms are used in the NOAA Corps OES:

- A. NOAA Form 56-6A – NOAA Commissioned Corps Officer Evaluation Report (OER). This form shall be used for NOAA Corps officer performance ratings for officers holding the rank of lieutenant through captain.
- B. NOAA Form 56-6B – NOAA Commissioned Corps Reviewer Comments is used for reviewer comments.
- C. NOAA Form 56-6C – NOAA Commissioned Corps Officer Support Form (OSF) is an optional worksheet for all officers to describe duties, establish goals, document accomplishments and facilitate performance feedback. This form is also highly recommended for officers with less than three years of commissioned service.
- D. NOAA Form 56-6E – NOAA Commissioned Corps Officer Evaluation Report (OER). This form shall be used for NOAA Corps officer performance ratings for officers holding the rank of lieutenant (junior grade) and ensigns.
- E. NOAA Form 56-6F – Admiral Evaluation Report is used for flag officer evaluations.

10.A.3.b. OFFICER EVALUATION REPORT (OER) FOR LIEUTENANT THROUGH CAPTAIN

- A. Important OER guidance for LT thru CAPT is contained in Section 10.A.4.b., Constructing Effective Officer Evaluation Report Comments, Section 10.A.4.c., Officer Evaluation Report Restrictions and in Section 10.A.5., Instructions for

OFFICER EVALUATION SYSTEM INSTRUCTIONS

Completing Officer Evaluation Forms. For information on Occasion of Report and Reporting Periods, see NCD Chapter 4, Part 4, respectively.

- B. The rated officer is responsible for the accuracy of administrative data including the Administrative Data Section. (Section 1)

10.A.3.c. OFFICER EVALUATION REPORT (OER) FOR ENSIGNS AND LIEUTENANTS (JUNIOR GRADE)

- A. NOAA Form 56-6E provides an effective and efficient summary of performance and potential for ensigns and lieutenants (junior grade). Important OER guidance is contained in Section 10.A.4.a., Administrative Rules for Officer Evaluation Report Forms and Section 10.A.4.c., Officer Evaluation Report Restrictions.

- B. Format

- 1. NOAA Form 56-6E is a single page with emphasis on:
 - a. Performance of duties (numerical marks) with the primary duty easily identified.
 - b. Three performance dimensions that best characterize the officer indicated by mark and elaborated on in comments.
 - c. Qualifications and competencies earned during the rating period.
 - d. Potential to assume greater leadership roles and responsibilities as documented in the comparison scale and comments.

- C. Rating Chain Designation

- 1. The Officer Evaluation Report for ensigns and lieutenants (junior grade) has a two-person rating chain made up of the supervisor and the reporting officer. There is no reviewer except as indicated in number 3 below.
- 2. The supervisor and reporting officer are required to be two different officers, regardless of rank.
- 3. For a derogatory OER, as defined in NCD 04411, the functions that would be handled by the reviewer of an OER (grades lieutenant through captain) will be handled by the supervisor of the reporting officer.

- D. Occasion for Report and Reporting Period – NCDs 04405 and 04406 apply to Occasion for Report and Reporting Period for the NOAA Form 56-6E.

- E. Responsibilities of Rated Officer

OFFICER EVALUATION SYSTEM INSTRUCTIONS

1. All ensigns and lieutenants (junior grade) must request initial and end-of-period meetings with their supervisor, and must submit a summary of achievements and other aspects of performance. In cases of geographic separation, telephone or written exchange of information will suffice. This meeting shall occur 21 days prior to the end of the reporting period.
2. The rated officer completes all items in the Administrative Data Section (Section 1) 21 days before the end of the reporting period and forwards the OER and supporting materials to the supervisor. The rated officer is responsible for the accuracy of the information.
3. For detailed information and instructions for completing NOAA Form 56-6E, see Section 10.A.5.A. (Part 1) of this Instruction Manual.

F. Responsibilities of Supervisor

1. Supervisors complete Sections 2 through 9 of the NOAA Form 56-6E. Specific guidance may be found in NCD 04404 (D).
2. After marking all performance dimensions, the supervisor selects the three performance dimensions that best characterize the rated officer by selecting the appropriate circles on the form. The three selected performance dimensions shall be supported in Section 8, Comments.
3. If a rated officer serves at any time during the reporting period under the direction of an officer not their primary supervisor, the primary supervisor should attempt to obtain from the secondary supervisor a description of the rated officer's duties while working for the secondary supervisor.
4. Special or Derogatory OER: in addition to the description of duties and responsibilities, provide a brief reason for the OER.

G. Responsibilities of Reporting Officer

1. The reporting officer chooses a mark on the Comparison Scale, (Section 10) that most closely reflects the reporting officer's ranking of the rated officer.

10.A.3.d. ADMIRAL EVALUATION REPORT (AER)

- A. NOAA Form 56-6F – NOAA Commissioned Corps Admiral Evaluation Report is used to describe the performance of flag officers in lieu of an Officer Evaluation Report. For instructions on completing form NOAA Form 56-6F – NOAA Commissioned Corps Admiral Evaluation Report, see Section 10.A.5.f. (Part 6) of the instruction manual.
- B. Rating Chain

OFFICER EVALUATION SYSTEM INSTRUCTIONS

1. Supervisor – The supervisor is the individual one tier above the flag officer on a traditional organizational chart or the person the flag officer reports to most directly.
 2. Reporting Officer – The reporting officer is the individual one tier above the supervisor of the flag officer on a traditional organizational chart or the person the supervisor reports to most directly.
 3. Reviewer – The reviewer is the individual one tier above the reporting officer, or two tiers above the flag officer on a traditional organizational chart or the person the reporting officer reports to most directly.
 4. Due to the nature of flag officer positions and extreme seniority of the associated rating chain, role overlap (e.g., reporting officer and reviewer are the same) is acceptable for the Admiral Evaluation Report.
- C. The usual period of report for NOAA Form 56-6F – NOAA Commissioned Corps Admiral Evaluation Report is October 1 – September 30, each year, though occasions requiring a report (e.g., retirement, request of Administrator) may alter the period. Submission to CPC will typically be within 60 days of the end of the reporting period unless waived by the reporting officer, reviewing officer, administrator or special circumstance.
- D. Upon receipt of NOAA Form 56-6F – NOAA Commissioned Corps Admiral Evaluation Report, the Director, CPC will conduct an administrative review to determine whether the Admiral Evaluation Report is complete and contains the requisite signatures. CPC will then update the flag officer's OPF to include the Admiral Evaluation Report.

10.A.3.e. OFFICER SUPPORT FORM (OSF)

- A. NOAA Form 56-6C, OSF is optional for supervisors of rated officers. Instructions for filling out the form may be found in Section 10.A.5.e. (Part 5). The OSF is strongly recommended when:
1. the rated officer has less than three years of service as a commissioned officer; or
 2. the rated officer requests its use; or
 3. a senior member of the rating chain directs its use.
- B. Functions of the OSF
1. Establishes a clear understanding of job expectations.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

2. Serves as a formal vehicle for giving specific, constructive performance feedback.
3. Assists the supervisor and reporting officer in preparing well substantiated performance evaluations.
4. Serves as a vehicle for clarifying the rated officer's job responsibilities and areas of the job which either the rated officer and/or supervisor feel should receive emphasis during the reporting period.
5. Provides the rated officer a means of bringing significant accomplishments or aspects of performance to the supervisor's attention during the reporting period.
6. Provides a convenient place for the supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.
7. Serves as a vehicle for the supervisor of an officer assigned temporarily to their unit for periods of less than 60 calendar days, to relay information to the rated officer's permanent supervisor.

10.A.4. RULES FOR COMPLETING OFFICER EVALUATION REPORTS

10.A.4.a. ADMINISTRATIVE RULES FOR OFFICER EVALUATION REPORT FORMS

- A. Violation of any of the following rules will result in an OER being marked invalid and returned for correction:
1. Handwritten comments are prohibited.
 2. Signature blocks shall include the typed or printed names and grade of the individuals required to sign the OER.
 3. Original pen and ink signatures or CAC-authenticated digital signatures are required on the OER. Photocopied signatures are prohibited.
 4. Signatures "for" any designated member of the rating chain are prohibited.
 5. All comments shall be confined to the space allotted to each comment section. No comment shall be continued from one comment block to another. Continuation sheets are prohibited.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

6. The primary duty of the rated officer may be underlined, italicized, boldfaced, or capitalized. No other text enhancements are allowed in the remainder of the OER unless required by protocol.
7. Line out and initial changed numerical marks or minor comment corrections in ink. Reprint the OER if more than one numerical mark is changed or more than five simple grammar, spelling, or typographical errors are corrected in a comment section.
8. Acronyms that are uncommon or are specific to a particular program, project, or activity should be defined when first used.
9. Use abbreviations in moderation and only to improve readability and efficiency of the comments. Abbreviations should be commonly understood by all NOAA Corps officers.
10. If the rated officer was promoted during the period of report, use the rank of the officer at the end of the reporting period throughout the text comments.

10.A.4.b. CONSTRUCTING EFFECTIVE OFFICER EVALUATION REPORT COMMENTS

- A. The comments block following each evaluation area shall include narrative or bullet-style comments citing specific aspects of the rated officer's performance and behavior for each mark that deviates from standard, equivalent to a 4 on the OER rating scale, performance. For clarity, comments may be listed by letter designation of the specific performance dimension supported (i.e., a., b., c.).
- B. Comments demonstrating specific impacts or results must be included when an officer has been assigned a mark of 5 or 6. Those assigned the superlative mark of 7, shall have comments citing specific examples demonstrating how the superlative mark was earned and how that performance impacted NOAA.
- C. Members of the rating chain shall provide clear, brief, and accurate OER comments. When possible, provide results in terms of fiscal or time savings, increased productivity, team building, customer response time, safety metrics, personnel attrition rates or other measurable quantities. Effective comments answer the questions posed below, placing emphasis on actions and results:
 1. What was the challenge presented to the rated officer?
 2. What was the environment in which the rated officer endeavored to meet the challenge?
 3. What actions did the rated officer take and what skills and character traits did the rated officer demonstrate?

OFFICER EVALUATION SYSTEM INSTRUCTIONS

4. What were the quantifiable/observable results and impact to the program, project, or activity?
- D. Comments shall identify specific strengths or weaknesses in performance or potential. Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with NCD 04411. Derogatory reports are OERs that contain:
1. a numerical mark of 1 in any performance dimension, or
 2. an “unsatisfactory” mark by the reporting officer in Section 9.
- E. When applicable, specifically address the officer’s acquisition and demonstration of seamanship or airmanship expertise.
- F. Supervisors shall draw on first-hand observations, those of any secondary supervisors, and other information accumulated during the reporting period.
- G. Repetition or paraphrasing of the performance standards is not sufficient narrative justification for below or above standard marks.
- H. The reporting officer shall comment on the rated officer’s potential for greater leadership roles and responsibilities in the NOAA Corps, in Section 10 – POTENTIAL of the OER, Officer Evaluation Report. Comments in this section reflect the judgment of the reporting officer.
1. Reporting officers in operational commands shall comment on the development, or lack thereof, of seamanship or airmanship skills and operational leadership competence. Detachment OERs shall contain a specific comment on the rated officer’s qualification to assume the next level operational billet (e.g., Operations Officer, Commanding Officer, or Aircraft Commander).
 2. Reporting officers for rated officers nearing inclusion in a promotion zone shall comment on the officer’s qualifications to assume the responsibilities and duties of the next grade.
 3. Reporting officers should comment on the development, or lack thereof, of leadership competencies as set forth in the NOAA Corps Leadership Development Framework.
 4. Other comments in this section may include:
 - a. Recommendations for the type or specific assignment for which the rated officer is qualified or shows aptitude.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- b. Recommendations for training or selection to senior service school.
- c. Special talents, skills and character traits (or lack thereof) that support the rating in block 9, and support recommendations for promotion and future assignment.

Refer to Section 10.A.4.c., Officer Evaluation Report Restrictions, and Section 10.4.A., Rules for Completing Officer Evaluation Reports for further guidance on writing comments for the OER.

10.A.4.c. OFFICER EVALUATION REPORT RESTRICTIONS

- A. Inclusion of the following restricted comments in an OER will result in the OER being marked invalid and being returned for correction:
 - 1. Stating the rated officer is the subject of a judicial, administrative or investigative proceeding, including criminal and formal punishment proceedings, civilian criminal proceedings or any other investigation (including Equal Employment Opportunity or harassment investigations) except as provided in NCD 04410 (D)(1). This restriction does not preclude comments on the conduct that is the subject of the proceeding. It only prohibits reference to the proceeding itself. Referring to the proceeding is permissible when in response to an OER Reply first raised by a rated officer under NCD 04408.
 - 2. Text indicating that the rated officer was or was not recommended by a Board (e.g., references to involuntary retirement or separation, non-selection for promotion, as well as actions by Disciplinary Boards).
 - 3. Referring to any medical or psychological conditions, whether factual or speculative. The restriction applies to both the rated officer and family members.
 - 4. Referring to pregnancy. The restriction applies to both the rated officer and family members.
 - 5. Evaluations, comparisons, or emphasis on age, color, race, national origin, religion, physical or mental disability, sex, sexual orientation, or genetic information.
 - 6. Reference to a third party by name, age, color, race, national origin, religion, physical or mental disability, sex, sexual orientation, or genetic information. (e.g., Catholic lay minister, wrote an award recommendation for African American civilian, praised by RADM Smith, was a female role model). Correct use is title only (e.g., Director, NOAA Corps).

OFFICER EVALUATION SYSTEM INSTRUCTIONS

7. Reference to the rated officer by first name. Use rank (Last Name) or rank (First Name and Last Name).
 8. Reference to the rated officer's marital or family status.
 9. Discussion of rated officer's performance or conduct that occurred outside the reporting period.
 10. Reference to information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above an Unclassified level.
- B. The restrictions identified in Section 10.A.4.c., apply to the OES including, but not limited to, the following forms:
1. NOAA Form 56-6A,
 2. NOAA Form 56-6B,
 3. NOAA Form 56-6C,
 4. NOAA Form 56-6E,
 5. NOAA Form 56-6F,
 6. OER Replies,
 7. Rating Chain Replies to OER Replies, and
 8. OER Addenda and Rating Chain Attachments (derogatory OERs only)

10.A.4.d. REVIEWER COMMENTS

- A. NOAA Form 56-6B – NOAA Commissioned Corps Reviewer Comments is required under any of the following circumstances:
1. A reviewer wishes to provide additional comments.
 2. The OER is a derogatory report in accordance with NCD 04411.
 3. The reporting officer is neither a commissioned officer in the grade of lieutenant or higher, nor a NOAA GS-12, or equivalent, or higher.
 4. The rated officer refused to sign the OER.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

5. The rated officer is not available to sign the OER due to separation from the Service or other special situation, and the circumstances are not explained in block 10 of the OER.
- B. Timing – NOAA Form 56-6B – NOAA Commissioned Corps Reviewer Comments shall be submitted with the OER (NOAA Form 56-6A) in accordance with NCD 04405: Responsibilities.
- C. Instructions for NOAA Form 56-6B – NOAA Commissioned Corps Reviewer Comments can be found in the Instruction Manual, Section 10.A.5. d. (Part 4).

10.A.4.e. DUTY UNDER INSTRUCTION (DUINS) OFFICER EVALUATION REPORTS

- A. DUINS OERs may be submitted as either an Exception OER – Concurrent or as a regular OER depending on the duration and nature of the instruction. For instructions on completing a DUINS OER, see Section 10.A.5 c. (Part 3).
- B. DUINS OERs do not apply to officers assigned to Basic Officer Training Class (BOTC).
- C. Conditions for Submitting a DUINS OER:
 1. A DUINS OER should be submitted when a rated officer is assigned to:
 - a. Long Term Training, or
 - b. A training assignment or a developmental detail assignment for greater than 90 calendar days.
- D. Reporting Periods and Occasion for Report –The DUINS reporting period and occasion for report shall be as follows:
 1. When a rated officer is assigned to Long Term Training, the DUINS OER reporting periods should be determined by routine breaks in the academic schedule and planned to coincide as closely as possible with annual (or semiannual) reporting periods.
 2. When a rated officer is assigned to a training assignment or a developmental detail assignment:
 - a. For greater than 90 calendar days the DUINS OER should be an annual or semiannual OER or a detachment of officer OER and submitted to coincide with the completion of the training or developmental detail assignment.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- b. For less than or equal to 90 calendar days the DUINS OER should be an Exception OER – Concurrent and submitted to coincide with the completion of the training or developmental detail assignment.

E. Designation of DUINS OER Rating Chain Members:

1. Supervisor – The supervisor for an officer assigned to DUINS shall be designated from within the sponsoring program, project, or activity.
2. Reporting Officer – The reporting officer for an officer assigned to DUINS shall be designated from within the sponsoring program, project, or activity.
3. Reviewer – The reviewer for an officer assigned to DUINS shall be a commissioned officer in the grade of commander or higher; a NOAA GS-14 equivalent or higher from within the sponsoring program, project, activity; or from CPC.

10.A.5. INSTRUCTIONS FOR COMPLETING OFFICER EVALUATION FORMS

A. Instructions for completing the different forms that comprise the Officer Evaluation System are included in this section in separate parts as follows:

- PART 1: NOAA FORM 56-6A – OFFICER EVALUATION REPORT FOR LIEUTENANT/CAPTAIN (OER – LT-CAPT)
- PART 2: NOAA FORM 56-6E – OFFICER EVALUATION REPORT FOR ENSIGN AND LIEUTENANT (JUNIOR GRADE) (OER-ENS/LTJG)
- PART 3: DUTY UNDER INSTRUCTION (DUINS) OERs
- PART 4: NOAA FORM 56-6B – REVIEWER COMMENTS
- PART 5: NOAA FORM 56-6C – OFFICER SUPPORT FORM (OSF)
- PART 6: NOAA FORM 56-6F – ADMIRAL EVALUATION REPORT (AER)

10.A.5.a. PART 1: INSTRUCTIONS FOR COMPLETING NOAA FORM 56-6A – OFFICER EVALUATION REPORT (OER)

Section 1. ADMINISTRATIVE DATA – The rated officer shall complete all items in this section no later than 21 calendar days before the end of the reporting period and forwards the OER and supporting materials to the supervisor. The rated officer is responsible for the accuracy of the information.

- a. NAME – Last Name, First Name and Middle Initial.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- b. GRADE – Two-character pay grade, (e.g., O2, O5) as of the end of the reporting period. Temporarily promoted officers shall provide their permanent grade, not grade to which temporary promoted.
- c. DATE OF RANK – Date promoted to current rank (as of end of reporting period) in all numerals, e.g., (YYYY-MM-DD).
- d. DATE REPORTED – The date the rated officer reported to the current unit. Permanent Change of Assignments (PCA) within a unit constitutes a change in the date reported.
- e. UNIT – Identification of the program, project, or activity to which permanently attached, e.g., OMAO/MOC-A/Oregon II. For concurrent OERs, use the Temporary Duty (TDY) unit name.
- f. DAYS NOT OBSERVED – Enter the number of calendar days the rated officer was not present for duty during the evaluation period. For example, TDY not performed in the execution of the officer's normal duties, Permanent Change of Station (PCS) travel, proceed time, convalescent or extended leave.
- g. DATE SUBMITTED – The date the rated officer submits the OER and list of accomplishments to the supervisor initiating the rating process.
- h. PERIOD OF REPORT – The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER of newly commissioned officers and ISTs) and ends on the date of the occasion for the current report. Elapsed time between permanent or temporary duty stations while in transit, on leave, hospitalized, or other similar circumstances, shall be accounted for in the next period of report and noted in Section 1.f., Days Not Observed.
- i. OCCASION FOR REGULAR REPORT – Select only one reason for the occasion which prompted the OER submission.
- j. EXCEPTION REPORT – If "Exception Report" is selected in Section 1.i., select the type of exception report, special or concurrent, but not both.

Section 2. DESCRIPTION OF DUTIES

- 1. The rated officer or supervisor shall write a summary of the most important aspects of the rated officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities shall be included. Include number of people supervised, funds controlled, unit operations or organizational relationships as appropriate.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

2. Description of the rated officer's primary duty may be enhanced with text that is underlined, italicized, boldfaced, or in all capital letters.
3. Assume the primary audience for the OER will not have an understanding or familiarity with the most important duties of the officer's job; be descriptive yet succinct.
4. If a rated officer serves at any time during the reporting period under the direction of an officer not his or her primary supervisor, the supervisor shall obtain a description of the rated officer's duties while working for the secondary supervisor, unless a special OER – Concurrent is submitted in accordance with NCD 04412.
5. For Exception OERs – Special and Continuity OERs, provide a brief reason for the submission and cite the relevant section of these Instructions.

Section 3. PERFORMANCE OF DUTIES, 4. COMMUNICATION SKILLS, and 5. LEADERSHIP SKILLS are completed by the supervisor and are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas, Performance of Duties, Communication Skills and Leadership Skills.

1. Two or more performance dimensions with rating scales define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard.
2. Supervisors shall carefully read the standards in each evaluation area and compare the rated officer's performance to the level of performance described by the standards. The rated officer's performance during the reporting period shall be compared to the performance dimension standards, not to other officers, and not to the same officer in a previous reporting period. After determining which block best describes the rated officer's performance and qualities during the reporting period, the supervisor selects the appropriate numerical score on the form.
3. Where the supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "NO" (Not Observed) circle shall be used. The reason for the "NO" mark must be briefly stated in the comment block.
4. By definition, a rated Officer's performance in Section 5.f. "Evaluations" can NOT be marked "NO" (not observed). For example, a rated officer has responsibility for timely submission of their OER input to his or her supervisor, as well as responsibility for tracking the progress of his or her OER from initiation through all steps of review to eventual validation.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

5. Include supporting comments in accordance with Section 10.A.4.b., of these instructions.

Section 6. SUPERVISOR AUTHENTICATION

- a. **NAME AND SIGNATURE** – The supervisor’s typed or printed name and signature (hand or CAC-authenticated) verifies completion of their OES responsibilities and accuracy of comments and evaluations. Include service abbreviation if other than NOAA Corps (e.g., USN, USCG, USA).
- b. **GRADE** – Two-character uniformed services pay grade, or civilian equivalent (e.g., O6, GS12, WM-Master, and ZP-IV).
- c. **TITLE OF POSITION** – For example, Executive Officer, F/ST; Commanding Officer, NOAA Ship *Pisces*; Chief, Officer Assignment Branch.
- d. **DATE** – The date the supervisor submitted the evaluation to the reporting officer. Enter date in numeric format, e.g., (YYYY-MM-DD).

After signing, the supervisor forwards the OER to the reporting officer.

Section 7. REPORTING OFFICER COMMENTS – This section is completed by the reporting officer and provides an opportunity for the reporting officer to comment on the supervisor’s evaluation. Reporting officers are encouraged to cite other information and observations which would confirm or provide another perspective of the rated officer’s performance and qualities demonstrated during the reporting period.

Section 8. PERSONAL AND PROFESSIONAL QUALITIES – This section is completed by the reporting officer and is intended to measure an officer’s personal and professional qualities.

1. Five performance dimensions with rating scales define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard.
2. Reporting officers shall carefully read the standards in this evaluation area and compare the rated officer’s performance to the level of performance described by the standards. The rated officer’s performance during the reporting period shall be compared to the performance dimension standards – not to other officers, and not to the same officer in a previous reporting period. After determining which block best describes the rated officer’s performance and qualities during the reporting period, the supervisor selects the appropriate numerical score on the form.
3. Where the reporting officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the “NO” (Not

OFFICER EVALUATION SYSTEM INSTRUCTIONS

Observed) circle shall be used. The reason for the “NO” mark must be briefly stated in the comment block.

4. Include supporting comments in accordance with Section 10.A.4.b., of these instructions.

Section 9. COMPARISON AND RATING SCALES

1. No rating is required if there were insufficient opportunities to make a judgment. In this case the reporting officer should indicate so with a short statement in Section 10.
2. COMPARISON SCALE (FOR GRADES O3 TO O5) – The reporting officer shall select the number that most closely reflects the reporting officer’s ranking of the rated officer relative to all other officers of the same grade that the reporting officer has known. This section represents a relative ranking of the rated officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.
3. RATING SCALE – The reporting officer shall select the number that most closely reflects the rated captain’s performance during the reporting period in consideration of information contained in the OER.

Section 10. POTENTIAL – The reporting officer shall comment on the rated officer’s potential for greater leadership roles and responsibilities in the NOAA Corps. Comments in this section reflect the judgment of the reporting officer.

1. Reporting officers in operational commands shall comment on the development, or lack thereof, of seamanship or airmanship skills and operational leadership competence. Detachment OERs shall contain a specific comment on the rated officer’s qualification to assume the next level operational billet (e.g., Operations Officer, Commanding Officer, and Aircraft Commander).
2. Reporting officers for rated officers nearing inclusion in a promotion zone shall comment on the officer’s qualifications to assume the responsibilities and duties of the next grade.
3. Reporting officers should comment on the development, or lack thereof, of leadership competencies as set forth in the NOAA Corps Leadership Development Framework.
4. Other comments in this section may include:

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- a. Recommendations for type or specific assignment for which the rated officer is qualified or shows aptitude.
- b. Recommendations for training or selection to senior service school.
- c. Special talents, skills and character traits (or lack thereof) that support the rating in block 9 and support recommendations for promotion and future assignment.
- d. The reporting officer shall make a selection in the Recommend Retention/Separation box by filling in the applicable box, either:
 - i. Recommend retention in the NOAA Corps, or
 - ii. Recommend separation from the NOAA Corps

Section 11. REPORTING OFFICER AUTHENTICATION

- a. **NAME AND SIGNATURE** – The reporting officer's typed or printed name and either pen and ink or CAC-authenticated digital signature verifies completion of their OES responsibilities and that comments and evaluations are correct. Include a service abbreviation if other than NOAA Corps.
- b. **GRADE** – Two-character uniformed services pay grade, or civilian equivalent (e.g., O6, GS12, WM-Master, and ZP-IV).
- c. **TITLE OF POSITION** – For example, Executive Officer, F/ST; OIC, R/V *Gloria Michelle*; Chief, Officer Assignment Branch.
- d. **DATE** – The date the reporting officer submitted the evaluation to the reviewer. Enter date in numeric format, e.g., (YYYY-MM-DD).

Section 12. RATED OFFICER AUTHENTICATION

- a. **NAME AND SIGNATURE** - The rated officer's typed or printed name and either pen and ink signature or CAC-authenticated digital signature verifies that the individual has been consulted on the evaluation. Refusal to sign does not negate the validity of the OER, however, the reviewing officer must submit a Reviewer Comment form documenting the OER was presented and discussed with the rated officer and the officer refused to sign.

If the rated officer is not available to sign the OER due to separation from the Service, extended medical leave, death or other special situation

OFFICER EVALUATION SYSTEM INSTRUCTIONS

approved by the Director, CPC, the reporting officer shall write “not available” in the rated officer signature block. A specific statement explaining why the rated officer is not available must be included in block 10 of the OER or block 2 of the Reviewer Comment form.

- b. GRADE – Two-character uniformed services pay grade, (e.g., O1, O2, O3).
- c. TITLE OF POSITION – For example, Chief, Administration Division; Commanding Officer, NOAA Ship *Oregon II*; Chief, Officer Assignment Branch.
- d. DATE – The date the rated officer was briefed on the evaluation. Enter date in numeric format, e.g., (YYYY-MM-DD).

Section 13. REVIEWER AUTHENTICATION

- a. NAME AND SIGNATURE – The reviewer’s typed or printed name and either pen and ink or CAC-authenticated digital signature is required to verify that the OER has been completed in accordance with NOAA Corps Directives. Include a service abbreviation if other than NOAA Corps.
- b. GRADE – Two-character uniformed services pay grade or civilian equivalent (e.g., O6, SES1).
- c. TITLE OF POSITION – For example, Chief, Administration Division; Commanding Officer, NOAA Ship *Pisces*; Director, Commissioned Personnel Center.
- d. DATE – The date the reviewer completed the review and forwarded the OER to CPC. A date preceding the end-of-period is not appropriate because this date indicates when OES responsibilities were completed. Enter date in numeric format, e.g., (YYYY-MM-DD).

Section 14. Return Address – Name and address to which a copy is sent if after filing the original in the officer’s record. This address will be used in the event the officer request a a paper copy of the OER.

Section 15. CPC OES Administrator Review – For CPC use only.

10.A.5.b. PART 2: INSTRUCTIONS FOR COMPLETING NOAA FORM 56-6E – OFFICER EVALUATION REPORT FOR ENSIGNS AND LIEUTENANT (JUNIOR GRADE) (OER-ENS/LTJG)

Section 1. ADMINISTRATIVE DATA – The rated officer completes all items in this section no later than 21 calendar days before the end of the reporting period, and forwards

OFFICER EVALUATION SYSTEM INSTRUCTIONS

the OER-ENS and supporting materials to the supervisor. The rated officer is responsible for the accuracy of the information.

- a. NAME – Last Name, First Name and Middle Initial only.
- b. Rated Officer Signature – Officers must review and sign (handwritten or CAC-enabled digital signature) in this space after the reporting officer has signed the OER-ENS/LTJG, but prior to submission to CPC.
- c. UNIT – Identification of the unit to which permanently attached, e.g., NOAA Ship *Rainier*. For Concurrent OER-ENS/LTJG, use the temporary unit name indicated on the officer's orders.
- d. DAYS NOT OBSERVED – Enter the number of days the Reported-on Officer was not present for duty. (e.g., TDY not performed in the execution of the officer's normal duties, PCS travel and proceed time, leave)
- e. GRADE – Two character pay grade, e.g., O1, as of the end of the period of report.
- f. DATE OF RANK – Date of rank in numeric format, e.g., (YYYY-MM-DD) for the rank of the officer associated with the period of report.
- g. DATE REPORTED – Indicate the actual date reported to current PRIMARY DUTY. Enter date in numeric format, e.g., (YYYY-MM-DD).
- h. PERIOD OF REPORT – The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for newly commissioned officers) and ends on the date of the occasion for the current report.
- i. OCCASION FOR REPORT – Mark only one box for the occasion that prompted OER submission. The occasion dictates the end-of-period date (see above). The mark of Special takes precedence to any other Occasion for Report, should more than one occasion apply.

Section 2. DESCRIPTION OF DUTIES – PRIMARY DUTY:

Provide the rated officer's title as indicated on their orders. If the rated officer transferred on PCS orders during the period of report the PRIMARY DUTY line can state both primary duty titles assigned during the period of report with inclusive dates after each in parentheses. Rated officers performing duties other than those assigned still list their PRIMARY DUTY title as assigned. (see 4b. below, for additional information.)

Description of Primary Duty:

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- a. The supervisor writes a summary of the most important aspects of the rated officer's job. Primary duties, collateral duties, special projects, key processes, and customer identities should be included. Also note conditions particular to the assignment. Include number of people supervised, funds controlled, and unit operations or organizational relationships, as appropriate. Define highly technical terms or uncommon acronyms. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job. Section 10.A.4.c., Officer Evaluation Report Restrictions applies.
- b. Officers performing duties other than those assigned or listed in the PRIMARY DUTY block should start the description of duties with the Actual Duty Assigned, e.g., "Actual Duty Assigned: Hull Board Officer." When the rated officer transfers during the period of report and a Detachment of Officer OER is not required, then the subsequent OER may include a description of both primary duties and responsibilities of those positions.
- c. If observations are believed to be inadequate to render a judgment, the "not observed" circle is used. The reason for the "not observed" must be briefly stated in Section 2 or in the appropriate 'comments' blocks.

Section 3, 4, 5 and 6 - These sections are designed to measure an officer's demonstrated performance and qualities exhibited in four major evaluation areas:

3. Performance of Duties
 4. Professional Qualities
 5. Leadership Skills
 6. Communication Skills
- a. Each evaluation area has two or more performance dimensions. The criteria for each dimension and the rating scale used for marking become visible after clicking the 'Open' button beside each evaluation area title. For each performance dimension, the supervisor must carefully read the standards and compare the rated officer's performance to the level of performance described by the standards – not to other officers and not to the same officer in a previous reporting period. Refer to Table 4-1, below for marking guidance as identified on the OER-ENS/LTJG.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

| MARK | MEANS THE MEMBER CONSISTENTLY |
|------|---|
| 1 | (Derogatory) Did not meet all the written performance standards in the '2' level and the rater considered the impact severely detrimental to the organization or to others. |
| 2 | (Below standard) Did not meet all the written performance standards in this level. |
| 3 | Did not meet all the written performance standards in the '4' block. |
| 4 | (Standard) Met all the written performance standards for this level and none in the '6' level. |
| 5 | Met all the written performance standards in the '4' level and at least one of those in the '6' level. |
| 6 | (Above standard) Met all the written performance standards for this level and did not exceed any of them. |
| 7 | Met all the written performance standards in the '6' level and exceeded at least one of them. |

Table 4-1 Performance Dimension Marking

- b. After marking all the performance dimensions the supervisor selects the three performance dimensions that best characterize the rated officer by selecting the appropriate circles on the form. The three selected performance dimensions shall be supported in Section 8, of the OER-ENS/LTJG.
- c. In addition, each substandard mark shall be supported in Section 8, Supervisors Comments of the OER-ENS/LTJG. The requirement to comment on the three performance dimensions that best characterize the rated officer is in addition to the requirement to support each substandard mark.

Section 7. QUALIFICATIONS AND COMPETENCIES

- a. This section is used to capture all professional qualifications and certifications attained during the period of report. This is to emphasize proficiency in craft and focus on professional development. This section should capture professional, technical training and certifications earned during the period of report.
- b. The intent of this section is to enhance the visibility of and emphasize the obtainment of qualifications and competencies in the officer's profession. Entries in Section 7, may mirror information found elsewhere in an officer's record.

Section 8. SUPERVISORS COMMENTS

- a. Comments should be narrative rather than a listing of accomplishments (e.g., explain why you chose to select writing as a performance dimension to

OFFICER EVALUATION SYSTEM INSTRUCTIONS

characterize this officer, not simply listing how many memos, awards, or messages they wrote).

- b. Citing weakness does not make an OER derogatory. Derogatory OERs are identified in NCD 04411.
- c. All comments must be confined to the space allotted to the supervisor. An additional comments page from the supervisor is only authorized to ensure documentation of all substandard performance.

Section 9. SUPERVISOR AUTHENTICATION

- a. **SIGNATURE** – The supervisor’s signature verifies completion of their OES responsibilities and that comments and evaluation are correct. A typed name must accompany the signature, whether a hand or CAC-authenticated digital signature is used. Include service abbreviation if other than NOAA Corps.
- b. **GRADE** – Two character military pay grade, or civilian equivalent, e.g., O4, GS12, etc.
- c. **TITLE OF POSITION** – Examples include ‘Chief, Administration Division’; or ‘Commanding Officer’.
- d. **DATE** – The date the supervisor submitted the evaluation to the reporting officer. Enter date in numeric format, e.g., (YYYY-MM-DD). The supervisor can sign the OER-ENS/LTJG, prior to the end of the reporting period, ideally no earlier than 21 days.

Section 10. COMPARISON SCALE

- a. The reporting officer fills in the circle that most closely reflects the reporting officer’s ranking of the rated officer relative to all other officers of the same grade the reporting officer has known. [Note: This section represents a relative ranking of the rated officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve performance, but drop a category.]
- b. A mark of ‘Unsatisfactory’ defines the report as derogatory – see NCD 04411, of this chapter for procedures and requirements.
- c. No mark is required if there were insufficient opportunities to make a judgment. In this case, the reporting officer should indicate so with a short sentence in Section 11 – Potential.

Section 11. POTENTIAL

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- a. The reporting officer comment on the rated officer's potential for greater leadership roles and responsibilities in the NOAA Corps.
- b. No specific comments are required to support the reporting officers' judgment in Section 10 – COMPARISON SCALE. That notwithstanding, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers in this grade.
- c. Comments in this section reflect the judgment of the reporting officer and may include, but are not limited to the following:
 - i. Qualification to assume the duties of the next grade.
 - ii. Specialties or types of assignment, such as command or post-graduate education for which the rated officer is qualified or shows aptitude.
 - iii. Special talents or skills (or lack thereof) such as seamanship, airmanship or business acumen, as applicable for future assignments, training or career progression.
- d. Comments must be confined to the allotted space on the form.
- e. The reporting officer shall make a selection in the Recommend Retention/Separation box by filling in the applicable circle, either:
 - i. Recommend for retention in the NOAA Corps, or
 - ii. Recommend separation from the NOAA Corps

Section 12. REPORTING OFFICER AUTHENTICATION

- a. **NAME AND SIGNATURE** – The reporting officer's typed or printed name and either pen and ink or CAC-authenticated digital signature is required to verify completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless if a hand or CAC-authenticated digital is used. Include service abbreviation if other than NOAA Corps.
- b. **GRADE** – Two-character military pay grade or civilian equivalent, e.g., O5, GS-13.
- c. **TITLE OF POSITION** – Examples include 'Chief, Administration Division'; 'Commanding Officer'.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- d. DATE – The date the reporting officer completed the evaluation. Enter date in numeric format, e.g., (YYYY-MM-DD). Since this date indicates when the reporting officer completed OES responsibilities, a date preceding the end-of-period is not appropriate.

10.A.5.c. PART 3: INSTRUCTIONS FOR COMPLETING DUTY UNDER INSTRUCTION (DUINS) OFFICER EVALUATION REPORTS

Section 1. ADMINISTRATIVE DATA

- a. NAME – Last Name, First Name and Middle Initial.
- b. GRADE – Two-character pay grade, (e.g., O2, O5) as of the end of period date. Temporarily promoted officers shall provide their permanent grade, not the grade to which temporarily promoted.
- c. DATE OF RANK – Date of rank in numeric format, e.g., (YYYY-MM-DD), for the rank of the officer associated with the period of report.
- d. DATE REPORTED – Indicate the actual date of reporting to the school specified in block e. below. Enter date in numeric format, e.g., (YYYY-MM-DD).
- e. UNIT – The name of school, college, or university attended or designation of industry training.
- f. DAYS NOT OBSERVED – Enter the number of calendar days the rated officer was not present for duty during the evaluation period. For example, TDY not performed in the execution of the officer's normal duties, PCS travel and proceed time, convalescent or extended leave.
- g. DATE SUBMITTED – The date the rated officer submits the OER form to the supervisor. Enter date in numeric format, e.g., (YYYY-MM-DD).
- h. PERIOD OF REPORT – The reporting period commences the day after the ending date of the last regular OER and ends on either the date of the completion of training, the end of semester, or an intervening reporting trigger.
- i. OCCASION FOR REPORT – Select either “Annual/Semiannual” “Detachment of Officer” or “Exception Report” for the occasion which has prompted the OER submission. “Exception Report” is selected only in cases where the rated officer is assigned to Part-time University Training, or when attending training as an intern or student at a NOAA program, project or activity for 90 calendar days or less.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- j. EXCEPTION REPORT – “Concurrent” is selected only when “Exception Report” is selected in block (l)(i) of the OER.

Section 2. DESCRIPTION OF DUTIES

- a. Identify the institution or school attended and its location, the program or degree sought or earned, and the expected duration or completion of the program.
- b. Include the following text: “DUINS OER submitted in accordance with (IAW) Section 10.A.5.c., of these instructions.”

Sections 3 through 8.

- a. Select "NO" (Not Observed) for all marks.
- b. Course titles, grades, and grade point average for each semester covered by the OER shall be listed in the performance comments section under block 3.
- c. No other comments are authorized in these sections.

Reviewer Comments. Reviewer comments are not required for DUINS OERs, but if provided shall be submitted in accordance with Section 10.A.4.d., of these instructions.

10.A.5.d. PART 4: INSTRUCTIONS FOR COMPLETING NOAA FORM 56-6B REVIEWER COMMENTS

Section 1. ADMINISTRATIVE DATA

- a. NAME – Last Name, First Name, Middle Initial
- b. GRADE – Two-character pay grade of the rated officer, e.g., O2, O5, as of the end of reporting period date.
- c. DATE OF RANK – Date of rank in numeric format, e.g., (YYYY-MM-DD) for the rated officer in all numerals.

Section 2. COMMENTS – The reviewer shall comment on the rated officer’s potential, performance, qualities, or value to the NOAA Corps if these areas need to be expanded or explained further. The reviewer also may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussion. Additionally, the reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the rated officer’s development of operational and leadership competencies. If the rated officer is not available or refused to sign the OER, explain the

OFFICER EVALUATION SYSTEM INSTRUCTIONS

circumstances and timeline of the officer being presented the OER and given the opportunity to discuss with the rating chain.

Section 3. COMPARISON AND RATING SCALES

- a. **COMPARISON SCALE (FOR GRADES O3 TO O5)** – Reporting officer shall select the number that most closely reflects the reporting officer's ranking of the rated officer relative to all other officers of the same grade that the reporting officer has known. This section represents a relative ranking of the rated officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance, but drop a category.
- b. **RATING SCALE (CAPTAIN)** – The reviewer shall select the number that most closely reflects the rated officer's performance during the reporting period in consideration of information contained in the OER.

Section 4. REVIEWER AUTHENTICATION

- a. **NAME AND SIGNATURE** – The reviewer's typed or printed name and either pen and ink or CAC-authenticated digital signature is required to verify that the OER has been completed in accordance with NOAA Corps Directives. Include a service abbreviation if other than NOAA Corps.
- b. **GRADE** – Two-character uniformed services pay grade or civilian equivalent (e.g., O6, SES).
- c. **TITLE OF POSITION** – For example: Chief, Administration Division; Commanding Officer, MOC-P; Director, CPC.
- d. **DATE** – The date the reviewer completed the review and forwarded the OER to the OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is not appropriate. Enter date in numeric format, e.g., (YYYY-MM-DD).

10.A.5.e. PART 5: INSTRUCTIONS FOR COMPLETING NOAA FORM 56-6C OFFICER SUPPORT FORM (OSF)

Section 1. ADMINISTRATIVE DATA

- a. **NAME** – Last Name, First Name and Middle Initial.
- b. **GRADE** – Two-character pay grade of the rated officer, e.g., O2, O5, as of the end of reporting period date.
- c. **NAME OF SUPERVISOR** – Last Name, First Name and Middle Initial.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- d. GRADE OF SUPERVISOR – Two-character uniformed services pay grade, or civilian equivalent (e.g., O6, GS12, WM-Master, ZP-IV).
- e. PERIOD OF REPORT – The period of time covered by the information noted in the form, normally the same as the OER reporting period.

Section 2a. DESCRIPTION OF DUTIES – This space provides opportunity for the rated officer or supervisor to outline the rated officer's normal duty requirements for the specific billet or duty position.

- a. Entries should show the type of work required rather than frequently changing tasks.
- b. Descriptions should be clear, concise, and specific; explain what the rated officer's job is; and not merely list primary and collateral duty titles.
- c. Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.

Section 2b. AREAS OF EMPHASIS

- a. This section provides an opportunity for the rated officer or supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.
- b. Particular goals for the rated officer's professional development during the period may be listed as well (such as completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses, etc.).

Section 2c. INITIAL MEETING

- a. This section shall be used by the rated officer to notify the supervisor if a meeting is desired at the beginning of the reporting period to discuss what is expected for the coming period. If the rated officer desires a meeting, they shall submit the OSF to the supervisor no later than 21 calendar days before the beginning of the reporting period.
- b. When the conference has been held, the supervisor shall date and initial the OSF in the space indicated.

Section 3. DURING PERIOD ADJUSTMENTS

OFFICER EVALUATION SYSTEM INSTRUCTIONS

- a. This section is used when circumstances affecting the rated officer's duties, projects, and areas of emphasis change to a significant degree.
- b. The rated officer or supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact upon the rated officer's ability to attain the expected results.

Section 4a. ACCOMPLISHMENTS/AREAS NEEDING IMPROVEMENT

- a. In this section, the rated officer may list accomplishments and progress toward completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.
- b. If the rated officer intends to apprise the supervisor of accomplishments or progress for the period using the OSF, the rated officer shall submit the OSF no later than 21 calendar days before the end of the reporting period.

Section 4b. END-OF-PERIOD MEETING

- a. The rated officer shall use this section to notify the supervisor an end-of-period meeting is desired.
- b. When the conference has been held, the supervisor shall date and initial the OSF in the space indicated.

Section 5. SUPERVISORS COMMENTS

- a. The supervisor may affirm, supplement, expand, or otherwise comment upon the rated officer's accomplishments during the reporting period. The supervisor should draw from the information generated by conferences and other performance.
- b. Comments here may become a subject for discussion during the end-of-period conference.

Sections 6a through 6d. PERFORMANCE OBSERVATIONS

- a. This section of the OSF is used by the supervisor to note specific examples of the rated officer's performance or qualities observed or brought to the supervisor's attention in each of the major evaluation areas of the OER.
- b. The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and

OFFICER EVALUATION SYSTEM INSTRUCTIONS

substantiating evaluations on the OER. Entries are best noted chronologically as they occur in the appropriate evaluation area.

- c. For convenience, the supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the rated officer's performance during the reporting period.
- d. Supervisors are encouraged to be creative in utilizing Section 6 of the OSF as an aid in obtaining information related to the rated officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the rated officer's performance or the performance of their organizational unit are acceptable and may be helpful.

10.A.5.f. PART 6: INSTRUCTIONS FOR COMPLETING NOAA FORM 56-6F - ADMIRAL EVALUATION REPORT

Part 1: EVALUATION REQUEST

Section 1A. IDENTIFICATION – Flag officer who is the subject of the report completes all items in this section.

- a. NAME – Last Name, First Name and Middle Initial.
- b. GRADE – Two-character pay grade, (e.g., O7, O8) as of the end of the reporting period.
- c. YEARS IN GRADE – Number of years at current rank as of the end of the reporting period.
- d. CURRENT ASSIGNMENT – Identification of the position or organization to which predominantly assigned.
- e. REPORTED TO ASSIGNMENT OR ORGANIZATION – Enter the date reported to current assignment in numeric format, e.g., (YYYY-MM-DD).
- f. PERIOD OF EVALUATION - Enter the start and end dates of the period of report in numeric format, e.g., (YYYY-MM-DD).
- g. TYPE OF EVALUATION – Circle either 'Regular' or 'Special' as applicable.
- h. REASON FOR EVALUATION – Circle 'Annual' 'Detachment of Reporting Officer' or 'Detachment of Officer' as applicable.

OFFICER EVALUATION SYSTEM INSTRUCTIONS

Sections 1B, 1C, and 1D - Flag officers use these spaces to provide information on their accomplishments, opportunities, challenges and potential future assignments per the guidance at the top of each section. Text should be limited to the space in the box for this Section, amplifying details or providing supporting materials on separate sheets may be used to assist raters, but are not part of the final report. The flag officer's typed or printed name and an original hand-signature or CAC-authenticated signature at the bottom of Section 1 verifies completion of their AER responsibilities and the source and accuracy of their entries.

Part 2 – SUPERVISORS EVALUATION – Completed by the supervisor of the flag officer per the instructions in each section.

Section 2A: OFFICER BEING EVALUATED – Name of flag officer being evaluated should be entered Last Name, First Name and Middle Initial.

Section 2B: PERFORMANCE - The electronic form contains links to a full list of competencies and to definitions of each of the performance dimensions. Supervisors should mark at least one and up to three of these dimensions as the flag officer's greatest strengths by putting an 'S' (strength) in the column at the far right of Section 2B. Supervisors should also mark at least one and up to three dimensions as areas where the officer would most benefit from development with a 'C' (challenge).

Section 2C: COMMENTS - Supervisor comments should fit within the box.

Section 2D: SUMMARY RATINGS - Supervisor should mark the box which best describes the likelihood that others would work for the reported-on flag officer again.

Section 2E: SUPERVISOR

- a. Name of supervisor should be printed or typed – Last Name, First Name and Middle Initial.
- b. Years in Grade for commissioned officers or equivalent for civilian supervisors.
- c. Organization Name is the name of the organization to which the rated flag officer is assigned.
- d. Period of Supervision starts when flag officer reports to position and continues through end of period of report. Enter date in numeric format, e.g., (YYYY-MM-DD).
- e. Signature may be original hand signature or CAC-authenticated digital signature.
- f. Date is day the Admiral Evaluation Report is signed by supervisor. Enter date in numeric format, e.g., (YYYY-MM-DD).

OFFICER EVALUATION SYSTEM INSTRUCTIONS

PART 3 – REPORTING OFFICER’S ASSESSMENT – Completed by reporting officer of the flag officer per instructions in each section.

3A: OFFICER BEING EVALUATED – Name of flag officer being evaluated should be entered Last Name, First Name and Middle Initial.

3B: COMMENTS – Reporting Officer Comment’s Section is an opportunity for the reporting officer to comment on the performance, aptitudes, and fitness of the flag officer being evaluated. Comments should fit within the box allocated to Section 3B.

3C: RANKING – Mark the box which best describes the rated flag officer in comparison to all other flag officers the reporting officer has known.

3D: RECOMMENDATION - The recommendation section is an opportunity for the reporting officer to discuss the future of the rated flag officer within the organization and any related courses of action or undertakings. Text for the recommendation section should fit in the box in Section 3D.

3E: REPORTING OFFICER –

- a. Name of reporting officer should be printed or typed – Last Name, First Name and Middle Initial.
- b. Signature may be original hand signature or CAC-authenticated digital signature.
- c. Date is day the AER is signed by the reporting officer. Enter date in numeric format, e.g., (YYYY-MM-DD).

PART 4 – REVIEWER’S ASSESSMENT –

Completed by reviewer per instructions in each box. If reporting officer and reviewer are the same, space in 4B may be used for additional perspective if so desired; if not, box may indicate ‘reviewer and reporting officer are the same’ with no requirement to complete Sections 4B, 4C, and 4D.

Section 4A: OFFICER BEING EVALUATED – Name of flag officer being evaluated should be entered – Last Name, First Name and Middle Initial.

Section 4B: COMMENTS – Reviewer comments section is an opportunity for the reviewer to comment on the performance, aptitudes, and fitness of the flag officer being evaluated. Comments should fit within the box allocated.

Section 4C: RANKING – Mark the box which best describes the rated flag officer in comparison to all other flag officers the reviewer has known.

Section 4D: RECOMMENDATION – The recommendation section is an opportunity for the reviewer to discuss the future of the rated flag officer within the organization and

OFFICER EVALUATION SYSTEM INSTRUCTIONS

any related courses of action or undertakings. Text for the recommendation section should fit in the box.

Section 4E: REVIEWER –

- a. Name of reviewer should be printed or typed – Last Name, First Name and Middle Initial.
- b. Signature may be original hand signature or CAC-authenticated digital signature.

Date is the day the AER is signed by the reviewer. Enter date in numeric format, e.g., (YYYY-MM-DD).

10.A.6. INSTRUCTIONS FOR PROCESSING OFFICER EVALUATION FORMS

10.A.6. PROCESSING OF OFFICER EVALUATION REPORTS AT COMMISSIONED PERSONNEL CENTER

- A. OERs shall arrive at CPC no later than 45 calendar days after the end of the reporting period.
- B. OERs must route through the OER Administrator prior to submission to the OES Administrator.
- C. OERs may be either hand carried, mailed (United States Postal Service or private courier), or transmitted via inter-office mailer to CPC. The mailing address for completed reports is:

Chief, OCMD
Commissioned Personnel Center
1315 East West Highway
Silver Spring, MD 20910

Digitally signed OERs may be submitted to uer.cpc@noaa.gov using a secure file transfer system (i.e. Accellion).

- D. Unless mailed directly to either a member of the rating chain or the Director, CPC, completed OERs shall be mailed in double envelopes with the inner envelope marked “Officer Evaluation Report Enclosed, For Official Use Only, Do Not Open in Mailroom.”

OERs mailed to CPC are received by an OCMD staff member and checked into the database with a date stamp. Digital OERs are received by an OCMD staff member

OFFICER EVALUATION SYSTEM INSTRUCTIONS

via Accellion, uploaded to a secure server, printed out, and checked into the database with a date stamp.

- F. Upon successful entry into the database, the rated officer is notified via auto-generated email that the OER has been received and a routing slip is printed and attached to the OER.
- G. The Chief, OCMD, or a designated representative, conducts a thorough quality control review examining the OER for content, significant errors, and restricted comments. Special attention is given to inconsistencies between the numerical evaluations and written comments.
- H. OERs that fail the quality control review are marked “invalid” in the CPC database. An auto-generated email is sent to the reviewer and rated officer briefly stating the cause of the invalidation. A corrected OER must be submitted to CPC via the rating chain, within 30 calendar days of the notice. A corrected OER page requiring no signature may be submitted via email upon concurrence of Chief, OCMD, and the rating chain.
- I. OERs that pass the quality control review are marked “valid” in the CPC database.
- J. After validation, the OER numerical scores are entered into the database. Data collected is used for statistical analysis and trend reporting.
- K. The OER is forwarded for secondary review to the Chief, OCMD. The Chief, OCMD, or a designated representative, performs a secondary review and may reject the OER, generating an email to the reviewer and rating officer briefly stating the cause of the rejection. A corrected OER must be submitted to CPC via the rating chain within 30 calendar days of the notice. The Chief, OCMD, or designated representative, verifies completion of the quality control process for the OER by initialing and dating Section 15.
- L. Validated and approved OERs are routed to OCMD staff for scanning and inclusion in the online OPF as well as filing a hard copy in the rated officers OPF.
- M. Rated officers are notified by email when the official copy of their OER has passed all validations and approvals and is ready to be viewed in their online OPF. The date of this email serves as the rated officer’s date of receipt for the official copy of the OER from CPC. CPC does not mail paper copies of the OER.