

**Defense Health Agency
National Capital Region Market Office**

**NATIONAL CAPITAL
REGION MEDICAL**



STANDARD OPERATING PROCEDURE

For

EVALUATIONS AND FITNESS REPORTS

APPROVED BY:

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CHAPTER 1

GENERAL PROVISIONS AND REQUIREMENTS

Section 1. Introduction

1-100 Purpose

This Standard Operating Procedure (SOP) in accordance with (IAW) the authority in References (a) through (c), provides guidance for raters of military personnel assigned to medical treatment facilities and clients within the National Capital Region (NCR). The SOP establishes procedures for processing officer and enlisted performance reports.

1-101 Applicability

This SOP applies to all U.S. Armed Forces personnel and Federal supervisors that rate military members assigned to the NCR and provides further guidance to:

Army. Establish procedures and provide guidance to process Army Evaluations IAW Reference (a).

Air Force. Inform, provide guidance, and establish processing procedures for Air Force Officer Performance Reports (OPR) and Enlisted Performance Reports (EPR) IAW Reference (b).

Navy. Establish procedures and provide guidance to process Navy Evaluations IAW Reference (c).

1-102 Policy

This SOP prescribes the policy for evaluation reporting systems for the Army, Air Force and Navy military personnel assigned within the NCR.

CHAPTER 2

ARMY POLICY

Section 1. General Requirements

2-100 Rating Chain Information

A rating chain is established by the director, commandant, or leader of an organization and approved by the next higher director, commandant, or leader of an organization for two-star level directorates (or equivalent organizations). Once established and approved, the rating chains are maintained by rating officials (RO) to ensure the best evaluation of a Soldier's performance and potential.

A rating chain also ties the rated Soldier's performance to a specific senior or subordinate relationship. This allows for proper counseling to develop the rated Soldier and accomplish the mission. These functions are normally best achieved within an organization's chain of command or supervision. Generally, the evaluation of Soldiers by persons not involved in the chain of command or chain of supervision is inappropriate. Special rules for designating ROs have been made in cases involving the death, relief, or incapacitation of a RO are outlined in Reference (a) of this SOP.

2-101 General Rules for Establishing Rating Chains

The rating chain for a rated Soldier will be established at the beginning of the rating period. This allows the rated Soldier and ROs to properly execute their roles and responsibilities in the evaluation process. ROs must meet grade requirements, as well as time in position to render evaluation reports.

It is essential that ROs meet and maintain the required eligibility criteria throughout the rating period. If the rated Soldier's grade changes during the rating period, ROs must still meet the eligibility requirements to be authorized to render an evaluation report on a rated Soldier when one is due. If eligibility criteria are not met, evaluation reports will not be processed at Headquarters Department of the Army (HQDA).

When necessary, rating chain exceptions to policy (ETP) must be requested at the earliest date possible and cannot be implemented until approved by HQDA (for exceptions see paragraph 2-7a (page 8)).

2-102 General Rules for Designating a Rater

General Rater Requirements. The rater will be the immediate supervisor of the rated Soldier responsible for directing and assessing the rated Soldier's performance. The rater will normally be senior to the rated Soldier in grade or date of rank. Directors will normally rate directors. Civilian raters for Officer Evaluation Reports (OERs) and Noncommissioned Officer Evaluation Reports (NCOERs) will be officially designated on the established rating

scheme. Civilian raters for NCOs will be designated and qualified by grade.

Officer Evaluation Reports (OER). A rater will be an officer of the U.S. Armed Forces, U.S. Coast Guard, allied armed forces, or an employee of a U.S. Government agency (including non-appropriated funds (NAF) employees). A civilian rater has no minimum grade requirement. The rater will be the supervisor of the rated officer for a minimum period of 90 calendar days.

Noncommissioned Officer Evaluation Report (NCOER). A rater will be an officer or NCO of the U.S. Armed Forces, U.S. Coast Guard, or an employee of a U.S. Government agency (including NAF ROs). Only in rare instances will service members of allied armed forces be authorized to serve as raters. The rater will be the supervisor for a minimum period of 90 calendar days.

For specific rating chain members roles and responsibilities, see paragraph 2-10 of Reference (a) of this SOP.

Section 2. Raters

2-200 Rater Eligibility

OER Rater Eligibility. A military rater will be senior to the rated officer by grade or date of rank. Exceptions to this rule are, an officer in a command position may rate an officer over whom he or she has command authority. In cases when the director rates an officer of the same grade but senior in date of rank, the rater will attach a copy of the memorandum announcing the assumption of command as an enclosure to the rated officer's OER. (Format and guidance for assumption of command announcements are in AR 600-20).

NCOER Rater Eligibility. The military rater will be a sergeant (SGT) or above and senior to the rated NCO by grade or date of rank (see AR 600-20). U.S. Government civilian employees (including NAF employees) may serve as raters when there is no immediate military supervisor or when the civilian supervisor is responsible for directing and assessing the rated NCO's performance and in the best position to accurately evaluate the NCO's performance. The civilian rater will be officially designated on the published rating scheme established by the director, commandant, or organization leader.

Rules for Designating an intermediate Rater (OERs Only). An intermediate rater is only authorized for use by specialty branches (Chaplain Corps, Judge Advocate General Council (JAGC), and Army Medical Command (AMEDD)) when there is a level of technical supervision between the rater and senior rater (SR), in dual supervisory situations, or in unique instances when the rater's immediate supervisor is the logical SR but does not meet SR eligibility requirements as prescribed within Table 2-1 (page 14) of Reference (a). Under unique circumstances, requests for an ETP may be granted. Written requests for an ETP, endorsed by the first commanding general officer (or equivalent) in the organization, will be submitted to HQDA IAW the guidance contained in paragraph 2-6c (page 11) of Reference (a).

a. Intermediate Rater. An intermediate rater will be an officer of the U.S. Armed Forces, U.S. Coast Guard, or allied armed forces, or an employee of a U.S. Government agency (including NAF employees). The intermediate rater will be:

(1) Senior to the rated officer in grade or date of rank. A civilian intermediate rater has no minimum grade requirement but will be officially designated on the established rating scheme. The use of the intermediate rater is intended to maintain the link between the rater and SR in situations where there is a level of supervision between them. Rating chains having no supervisor between the rater and SR will not have an intermediate rater.

(2) A supervisor between the rater and SR in the rated officer's rating chain, unless the rated officer is serving under dual supervision. The use of the intermediate rater is intended to maintain the link between the rater and SR in situations where there is a level of supervision between them. Rating chains having no supervisor between the rater and SR will not have an intermediate rater.

(3) The rater's immediate supervisor and may be any supervisor between the rater and SR in the rated officer's chain of command. This rule is waived when the provisions of paragraph 2-21 or appendixes C, D, or E of Reference (a) of this SOP apply. In cases of dual supervision, the designated intermediate rater, if from a nonparent unit, may be senior to the SR see para 2-21 of Reference (a) of this SOP.

(4) An individual serving in that capacity for a minimum of 60 calendar days in order to evaluate the rated officer.

(5) Requests for an ETP, will be endorsed by the first general officer (or equivalent) within an organization and submitted to U.S. Army Human Resources Command (AHRC-PDV-E) at the beginning of the rating period, or at the earliest date possible upon discovering that the official will need to serve as an intermediate rater. Requests must be submitted in memorandum format and include the rated officer's full name, social security number (SSN), the period during which the official will serve as the intermediate rater, the effective date, and the justification for him or her to serve as an intermediate rater. Upon approval, provisions outlined in paragraph 2-6a of Reference (a) apply. A copy of the HRC approved ETP memorandum will be submitted to HQDA as an enclosure to the completed OER. See Reference (a) of this SOP for Services Personnel Office addresses.

Rules for Designating a Senior Rater. The following are SR requirements and eligibility by evaluation report:

a. OER Senior Raters. SRs will be a commissioned officer of the U.S. Armed Forces, U.S. Coast Guard, or a Department of Defense (DoD) civilian employee (including NAF employees). Members of allied armed forces are not authorized to be SRs. The minimum grade for a SR will be IAW Table 2-1 of this SOP. A civilian SR will be a designated supervisor of the rated NCO serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in Table 1-1.

(1) The SR will be the immediate supervisor of the rater and a supervisor above all other ROs in the rated officer's chain of command or chain of supervision, except as indicated in paragraph 2-6 and paragraph 2-7a (13) of Reference (a). To render a written OER, the SR must have been designated as the rated officer's SR for a minimum period of 60 calendar days, except as otherwise provided below.

(2) Senior Executive Service (SES) members serving in DoD positions may serve as a SR for all grades of rated officers, provided they are in the rated officer's chain of supervision and are at least one level above the rater or intermediate rater of the rated officer.

(3) SRs will be an officer or NCO of the U.S. Armed Forces, U.S Coast Guard, or a DoD civilian (or NAF employee). Members of allied armed forces are not authorized to be SRs. DoD civilian employee minimum qualified grade is GS-09 or equivalent.

(4) Requests for ETP will be submitted to AHRC-PDV-E at the beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the SR. Written requests will be in memorandum format on letterhead stationery and will indicate the rated officer's rank and full name, SSN, the period during which the U.S. Government official will serve as the SR, the effective date, and the justification for him or her to serve as SR. A copy of the HRC-approved ETP memorandum will be submitted to HQDA as an enclosure to the completed OER. See Reference (a) of this SOP for Services Personnel Office addresses.

(5) SRs may evaluate the rated officer with fewer than 60 days as a SR if they also served as the rated officer's intermediate rater in a previously published chain, and the combined total of time served in the rating chain equals 60 days or more. For other ETP, see chapter 3, sections VIII and IX of Reference (a) of this SOP.

(6) Additional guidance for ROs of residents, interns, and fellowship students of Graduate Health/Medical Education, outlined in Appendix E in Reference (a) of this SOP, states ROs will be designated as staff officers directly responsible for the education program of the rated officer at the lowest practical level. As an exception to Table 2-1, ROs need not be senior to the rated officer, however, the SR will be senior in grade or date of rank to the rater.

a. NCOER Senior Raters. SRs will be an officer or NCO of the U.S. Armed Forces, U.S Coast Guard, or a DoD civilian (or NAF employee). Members of allied armed forces are not authorized to be SRs.

b. The minimum grade for a SR will be IAW table 2-1. A civilian SR will be a designated supervisor of the rated NCO serving at an appropriate grade level above the rater and meeting the minimum grade or rank requirements in Table 2-1.

(1) The SR will be the immediate supervisor of the rater. To render a written NCOER, the SR must have been designated as the rated NCO's SR for a minimum period of 60 calendar days, see chapter 3, sections VIII and IX of Reference (a) of this SOP.

(2) Senior Executive Service (SES) members serving in DoD positions are allowed to senior rate all grades of rated NCOs, provided they are in the rated NCO's chain of supervision and are at least one level above the rater.

(3) Requests for ETP will be submitted to AHRC-PDV-E (For address see Reference (a) of this SOP) at the beginning of the rating period, or the earliest possible date when it is known that the official will need to serve as the SR. Written requests will be in memorandum format on letterhead stationary and will indicate the rated NCO's rank and full name, SSN, the period during which the U.S. Government official will serve as the SR, the effective date, and the justification for the individual to serve as SR (see Reference (a) of this SOP for address). A copy of the HRC-approved ETP memorandum will be submitted to HQDA as an enclosure to the completed NCOER.

(4) SRs may evaluate the rated NCO with fewer than 60 days as a SR if they also served as the rated NCO's rater in a previously published chain, and the combined total of time served in the rating chain equals 60 days or more. For other ETP, see chapter 3, sections VIII and IX of Reference (a).

(6) SRs will be senior in grade or date of rank to the rater.

(7) Specific requirements for ROs, outlined in Reference (a), are summarized in the below table.

Table 2-1 Minimum Grade Requirements for OER and NCOER Senior Raters

<i>Table 2-1 Minimum grade requirements for SRs on DA Form 67-10 series (OER) and DA Form 2166-9 series (NCOER)</i>		
<i>Rank of rated officer/NCO</i>	<i>Minimum rank or grade of military SR</i>	<i>Minimum grade/schedule and pay grades of civilian supervisor SR (merit/GS pay grade)</i>
SGT/SGTP	E-7 (SFC)/SSGP	GS-9 or equivalent
SGT/SSGP	E-8 (MSG)/SFPC	GS-9 or equivalent
SGT/SFCP	E-9 (SGM)	GS-9 or equivalent
MSG/MSGP/1SG/1SGP/SGM/CSM	Senior to the rater	GS-9 or equivalent
WO1 through chief warrant officer five (CW5)/2LT/1LT	O-4 MAJ/Maj/(CPTP)	GS-13 or equivalent
1LTP/CPT	O-5 LTC/Lt Col/Lt Col/MAJP	GS-13 or equivalent

CPTP/MAJ	O-6 COL/Col/LTCP	GS-13 or equivalent
MAJP/LTC	O-6 COL/LTCP	GS-15 or equivalent
LTCP/COL	O-7 BG/BGen/Brig Gen/ (COLP)	SES (see paragraphs 2-7a (4) and 2-7a(15)(b)) of Reference (a)
COLP/BG/MG (MG is specific only for USAR.)	Senior to the rater and intermediate rater	Senior to the rater and intermediate rater
<p>Notes:</p> <ol style="list-style-type: none"> 1. A promotable officer or NCO (signified on the OER and NCOER by placing a “P” after the current rank) is one who is on a promotion list (or selected for attendance to the U.S. Army Sergeants Major Academy and is currently serving in a position authorized for the next higher rank or grade. For ARNG see paragraph 2-11 of Reference (a) for specific requirements. 2. Civilian raters must be officially designated on the published rating scheme established by the local director and meet the minimum grade requirements indicated. The uniqueness of the other civilian pay scales precludes the establishment of a general Army-wide policy. Therefore, the minimum grade for civilian SRs holding other than GS pay grades, or those identified above is determined by local directors. 3. Other exceptions to this rule apply as indicated in paragraphs 2-7a (13)(b) and 2-7b (16), and for AMEDD COLs as specified in appendix E of Reference (a). 4. For supplementary review requirements, see paragraph 2-8a (2). 		

Section 3. Evaluation Reports

2-300 Mandatory Evaluation Reports

a. OERs and NCOERs are required if the rated officer or NCO has completed at least 90 calendar days in the same position under the same rater during the same rating period.

(1) Periods when the rater is in a nonrated status and, therefore, ineligible to evaluate the rated officer or NCO (such as attendance at a school, when suspended, in a patient status, in a leave status for 30 days or more, and so forth) will not be counted in the 90 calendar-day period.

On these OERs and NCOERs, the rater will complete the evaluation; however, intermediate raters (OERs only) and SRs will evaluate only if they have the required 60 calendar days in the rating chain.

b. “SR-Option” reports for officers and NCOs who are due a mandatory OER or NCOER within 60 calendar days of the change in SR will be treated as mandatory reports (see para 3-57b of Reference (a) of this SOP). Codes and reasons for submission are addressed in DA Pam 623-3 of Reference (b) of this SOP. Authentication by all ROs is mandatory.

2-301 Evaluation Report Forms

Specific procedural guidance and instructions for the preparation and submission of evaluation report forms are addressed in DA Pam 623–3 as follows:

- a. DA Form 67–10 series (OER)
- b. DA Form 2166–9 series (NCOER)
- c. DA Form 1059 (Civilian Institution Academic Evaluation Report)
- d. DA Form 1059–1 (Service School Academic Evaluation Report)

2-302 Processing DA Form 67-10 series and DA Form 2166-9 series

The Army standard for preparing and submitting OERs and NCOERs is using the Wizard application within the Evaluation Entry System. OERs and NCOERs are to be created, digitally signed (exceptions exist for manual signatures), and submitted for acceptance and processing at HQDA through the Evaluation Entry System use.

a. OERs and NCOERs prepared using the Wizard application associated within the Evaluation Entry System on the current Army Publishing Directorate-approved versions of DA Form 67–10 series OER or DA Form 2166–9 series NCOER will be submitted to HQDA to arrive no later than 90 days after the “THRU” date of the annotated on the report. Current versions of forms have the most up-to-date capabilities. OERs and NCOERs prepared on older form versions and/or printed, or manually signed cannot be submitted through the Evaluation Entry System, therefore, they must be mailed as paper copies to AHRC–PDV–ER (see address in Reference (b) of this SOP).

b. Printed paper copies of an OER, NCOER, and any required enclosures, must be mailed to AHRC–PDV–ER (except for deployed units) (see address in Reference (b) of this SOP).

c. Only units deployed to contingency theaters of operations, and others on an exceptional case-by-case basis, are authorized to email evaluations as attachments for submission to designated email addresses at HQDA. The Evaluation Systems and Policy Office can provide these addresses and guidance on procedures for deployed units. Email attachments, in order of preference, will comply with the following guidelines outlined in Chapter 5, Section 1 of Reference (b) of this SOP.

d. Basic requirements for printing evaluations for mailing are found in Chapter 5, Section 1 of Reference (b) of this SOP.

e. Evaluation reports submitted by any means will be rejected when:

- (1) The SR does not meet minimum qualifications.

- (2) Signature dates are more than 14 days before the “THRU” date of the evaluation report.
- (3) A “Complete the Record” evaluation report is not received in a timely manner.
- (4) An evaluation report is from a previous rating system (for example, DA Form 67–8 or DA Form 2166–7, which are now obsolete).
- (5) Evaluation reports contain other errors that cannot be corrected at the HQDA level.
- (6) Copies of evaluation reports are faxed. Faxed reports will be discarded without a record of rejection in the Enlisted Evaluation System (EES).

Each rated officer or NCO will be given a copy of his/her OER or NCOER by the SR or SR’s designated representative once it has been completed and processed locally. This copy may be either an electronic or a paper copy of the original OER or NCOER. Rated officers or NCOs who fail to receive a copy of their evaluation report after the close of the reporting period should request a copy from:

- a. The SR or administrative section responsible for processing the evaluation report.
- b. The ratee’s Army Military Human Resource Records (AMHRR), once the evaluation report has completed processing at HQDA and is put into the interactive Personnel Electronic Records Management System (iPERMS) for filing in the AMHRR. The iPERMS copy of the evaluation report is the Soldier’s official record.
- c. Rated Soldiers may access their AMHRR online at the following Web site <https://iperms.hrc.army.mil>.
- d. Copies of classified evaluation reports are not authorized, except as indicated in Reference (a) of this SOP.

2-303 Processing DA Form 1059 and DA Form 1059-1

Only electronically generated DA Forms 1059 and DA Forms 1059–1 designed and distributed by the Army Publishing Directorate are authorized for submission to HQDA and filing in a Soldier’s AMHRR. When preparing Academic Evaluation Reports (AER), authorized abbreviations may be used (see AR 25–52); however, acronyms must be spelled out the first time with the acronym indicated within parentheses; thereafter, the acronym may be used alone. Digitally signed AERs are preferred; however, manually signed AERs are authorized.

- a. AERs will be processed through the appropriate sponsoring agency (see Table 5–1 of Reference (b) of this SOP), as needed, to complete the report.
- b. All significant information that can be evaluated must be reported. The same care and attention must be exercised in preparing AERs as is exercised in preparing OERs and NCOERs.

c. The original AERs and enclosures authorized by AR 623–3 will be placed unfolded in an envelope and forwarded via first-class mail to the HQDA address listed for the form (see address in Reference (b) of this SOP). Basic requirements for printing AERs for mailing to HQDA are found in Chapter 5, Section 1 of Reference (b) of this SOP.

CHAPTER 3

AIR FORCE POLICY

Section 1. General Requirements

3-100 Rating Chain Information

The Director determines the rating chain for assigned personnel based on Air Force and Management Level (ML) policy. Directors may deviate from the normal (supervisory) rating chain only when necessary to meet grade requirements or to accommodate unique organizational structures and situations where personnel are temporarily loaned or matrixed to other activities outside the ratee's assigned Personnel Accounting Symbol (PAS).

3-101 Evaluators and Minimum Grade Requirements

Rater. The official in the rating chain designated by management to provide periodic Airman Comprehensive Assessments (ACA) and initiate performance evaluations. Typically, the ratee's immediate supervisor will be:

a. Military Raters. For officers, the rater must be an officer of the United States or a foreign military service serving in a grade equal to or higher than the ratee. For enlisted, the rater must be an officer or an E-4 or higher, who has completed Airman Leadership School (or equivalent), of the United States or a foreign military service serving in a grade equal to or higher than the ratee.

b. Civilian Raters. For officers, raters must be a civilian serving in a grade equal to or higher than the ratee. For enlisted, a civilian rater must be at least a GS-5 or a comparable grade or higher and must be in a position higher than the ratee in the rating chain. For ranks E-7 thru E-9, a civilian rater must be at least a GS-11 or above.

Additional Rater (Rater's Rater). The official designated to provide periodic ACA and initiate a performance evaluation on a rater and will be no higher in organization than the reviewer/SR (SR). The additional rater is the second evaluator in the rating chain, after the rater, to endorse a performance evaluation. The second evaluator in the rating chain must be the rater's rater unless paragraph 1.7 or Attachment 1 of Reference (b) of this SOP.

a. Military Additional Rater. For officers, the additional rater must be an officer of the United States or a foreign military service serving in a grade equal to or higher than the rater, and in a grade higher than the ratee. **EXCEPTION:** An O-6 of the United States or a foreign military service may be the additional rater for an O-6. For enlisted, when the rater's rater does not meet the grade requirements below, the additional rater will be the next evaluator in the rating (supervisory) chain that meets the requirements.

(1) For E-1 thru E-6 (AF Form 910). The additional rater must be an officer, Senior Noncommissioned Officer (SNCO) (E-7 or above) of the United States or a foreign military

service serving in a grade equal to or higher than the rater.

(2) For E-7 select, E-7, E-8 select, and E-8 (AF Form 911), the additional rater must be equal or higher in grade than the ratee and a SNCO (E-7) or above; or an officer of the United States or a foreign military service serving in a grade equal to or higher than the rater.

b. Civilian Additional Raters. For officers, the additional rater must be an officer of the United States or a foreign military service serving in a civilian grade equivalent equal to or higher than the rater, and in a grade higher than the ratee. Additional raters must be at least a GS-9 or equivalent for company grade officers and GS-11 or equivalent for field grade officers. For enlisted, a civilian additional rater must be serving in a civilian grade equivalent, equal to or higher than the rater.

(1) For E-6 and below, a civilian additional rater must be at least a GS-7 (or equivalent) or above.

(2) For E-7 thru E-8, a civilian additional rater must be at least a GS-12 (or equivalent) or above.

c. Additional Reviewer/Senior Rater/Final Evaluator. All SRs must be the person holding the SR position designated by the Management Level (ML) for the ratee's organizational PAS. The Head of a ML (normally MAJCOM/CC) must designate all SR positions. Appointment of command (G-Series) orders do not authorize SR status.

(1) For officers. The reviewer must be the ratee's SR and will be the final evaluator on the OPR. **EXCEPTION:** When the rater or additional rater is also the SR, the Officer Performance Report (OPR) will close-out at this level (see Table 3.1 of Reference (c) of this SOP). Also, when a SR refers the evaluation, the officer named in the referral memorandum becomes the final evaluator, unless SR refers the evaluation again.

(2) For Lieutenant Colonels and Colonels (except Air National Guard (ANG)). The reviewer must be the first general officer (includes a Brigadier General (BG) select confirmed by the Senate) or equivalent, in the rating chain who has been designated as a SR by the ML.

(3) For Lieutenants through Majors (except ANG). The reviewer must be the first Colonel (or equivalent) in a wing commander (or equivalent) position who has been designated as a SR, as determined by the ML.

d. Civilian Senior Rater/Reviewer/Final Evaluator. For officers, majors and below, a civilian SR/Reviewer/Final Evaluator must be serving as a wing commander or equivalent in a SR position designated by the ML and at least a GS-15. For lieutenant colonels and colonels, a civilian SR must be the first SES or equivalent in the rating chain in a SR position designated by the ML.

3-102 Evaluator Requirements

a. Number of Evaluators

(1) OPRs will have three evaluators, unless the rater or additional rater is also the reviewer/SR.

(2) Enlisted Performance Reports (EPRs) will have at least two evaluators, unless the rater qualifies as a single evaluator.

(3) For E-9, no more than two evaluators (the rater and SR) will evaluate the ratee's performance.

(4) For E-7 selects thru E-8, no more than four evaluators (the rater, additional rater, unit director/military or civilian director/other authorized reviewer and final evaluator) will evaluate the ratee's performance.

(5) For E-1 thru E-6, no more than three evaluators (rater, additional rater and Force Distributor) will evaluate the ratee's performance.

(6) AF Form 78 and AF Form 3538 forms require two evaluators (N/A for ANG General Officers (GO)).

(7) Promotion Recommendation Forms and Training Reports only require one evaluator. **EXCEPTION:** The preceding requirements must be strictly adhered to, unless: director disagrees with the ratings (paragraph 1.9 of Reference (b) of this SOP); the evaluation is referred, and the director is not the evaluator named in the referral document, Referral Reviewer, (paragraph 1.10 of Reference (b) of this SOP); or the reviewer is senior to the director and refers the evaluation.

Section 2. Reasons for Reports

3-200 Officer Reports

Annual Reports. BG and BG Selectee reports close-out 31 July; non-Extended Active Duty (Non-EAD) BG (to include BG Select) reports close-out 31 May; ANG BG reports close out 31 January. Major General and Major General Selectee reports close-out 30 June.

Change of Reporting Official (CRO) Reports. In the event a CRO occurs and there are at least 90 days of supervision, a CRO report is optional if the CRO occurs outside 90 days from the annual requirement with the approval of AF/DPG (AF/REG for Non-EAD Officers and National Guard Bureau-GO for ANGUS general officers).

Directed by HQ USAF Reports. AF/DPG (AF/REG for Non-EAD officers) may direct General Officer (GO) reports at any time, regardless of the days of supervision.

Directed by CNGB Reports. NGB-GO may direct GO reports at any time, regardless of the days of supervision.

Officers Selected for Brigadier General (Regular AF (RegAF) and Air Reserve Component (ARC)). This report covers the period of supervision since the member's last report as a Colonel and transitions the member to the BG Annual Report cycle. The AF Form 78 is used to document the member's performance. See paragraph 7.4.8 for further details.

3-201 Enlisted Reports

Initial Reports. For RegAF, the close-out date will be 20 months from the ratee's total active federal military service provided the 20-month anniversary date falls between 1 April and 1 December of each year.

Annual/Biennial Reports. Reports for RegAF members: reports will close-out on the next appropriate Static Close-Out Date (SCOD) unless selected for promotion. Those on a select list will have their evaluation close-out on the appropriate SCOD for their promotion selected rank.

Directed by HQ USAF, NGB, or Director (Major Command (MAJCOM), wing, group, or squadron, as appropriate). The "THRU" date will be established by the following:

Message Directed. Use the date specified in the message directing the evaluation.

- a. Missing-in-Action/Captured/Detained. Use the date the ratee was placed in missing-in-action, captured, or detained in captive status.
- b. Stripes for Exceptional Performers or Supplemental Promotions. If an Airman is Stripes for Exceptional Performers (STEP) promoted or supplemental selected to the next higher grade and if completing an evaluation on the next SCOD in the new grade will create a reporting period of longer than one year, then a Directed by Headquarters Air Force (DBH) EPR must be completed with a close-out date effective the date of STEP promotion or the date which the results of the supplemental were released.

3-202 Evaluation Report Forms

Specific procedural guidance and instructions for the preparation and submission of evaluation report forms are addressed in Reference (c) of this SOP.

- a. AF Form 707, Officer Performance Report (O1-O6)
- b. AF Form 910, Enlisted Performance Report (E-7 thru E-8)
- c. AF Form 911, Enlisted Performance Report (E-9)

Section 3. Processing OPRs and EPRs

The servicing Military Personnel Section (MPS) will monitor the evaluation system to ensure prompt performance evaluation submittal. Do not suspend or require raters to submit a completed evaluation with their signature (digital, "wet" or otherwise) on it to the next evaluator

in the rating chain any earlier than five duty days after the close-out date. If the rater is not available, extend the suspense. The suspense can be extended to a date that will still allow the evaluation to meet the suspense into the official record 60 days after the close-out date. NOTE: This does not preclude a draft copy being routed earlier. OPR and EPR are:

a. Due to the MPS no later than 30 days after close-out.

b. Due to Air Force Personnel Center/Air Reserve Personnel Center (AFPC/ARPC) or office of record no later than 45 days after close-out, so that it can be placed in the records no later than (NLT) 60 days after the close-out date. NOTE: This suspense is to allow for any corrections at the lower level.

a. Filed in the Automated Records Management System (ARMS) no later than 60 days after the close-out.

OPRs/EPRs directed by HQ USAF or NGB are due to HQ AFPC/DP1SSP, HQ ARPC/DPTSE, HQ AF/DPE, HQ AF/DPO, HQ AF/DPG respectively by the suspense date established in the directing letter or message (i.e. Personnel Service Delivery Memorandum).

Complete referral evaluations IAW paragraph 1.10. (page 41), of Reference (b). File in the appropriate record and/or place into Automated Records Management System NLT 60 days for RegAF personnel and 90 days for non-EAD personnel, after the close-out date of the evaluation.

CHAPTER 4

NAVY POLICY

Section 1. Qualifications of Reporting Seniors and Raters

4-100 Reporting Seniors

IAW Reference (d) of this SOP, U.S. Armed Forces or civilian officials of the U.S. Federal government that are authorized to submit Fitness Reports (FITREPs), Chief Evaluations (CHIEFEVALs), and Evaluations (EVALs) on authorized occasions may evaluate performance only for the period during which the member is subject to the reporting senior's authority, unless otherwise provided in this instruction.

a. Commanding Officers (CO) and Officers In Charge (OICs) are designated as reporting seniors by virtue of their command authority. They may submit properly authorized FITREPs, CHIEFEVALs, and EVALs on any member who has reported to them for duty, whether junior or senior to them in grade. The term "commanding officer" is inclusive of all Services and their civilian equivalents within the U.S. Federal Government. OICs are reporting seniors if they are in charge of commissioned or established activities listed in the Standard Navy Distribution List.

b. Delegation of reporting senior authority is an actual transfer of that authority, and not merely an authorization to sign "By direction." For this reason, delegation is held to the highest level consistent with effective observation of performance, and the CO's oversight responsibilities are carefully defined. For specific direction concerning delegated reporting seniors, refer to enclosure (2), chapter 2 of Reference (d) of this SOP.

c. An immediate superior in command (ISIC) is a reporting senior for assigned COs and is authorized to assume the reporting senior authority of a subordinate CO whose capacity to act as a reporting senior becomes impaired. Specific guidance is contained in enclosure (2), chapter 2 of Reference (d) of this SOP.

d. An enlisted OIC in the grade of E9 and civilians in command positions who hold the grade of GS-9 through GS-12 may sign reports on E5 and below. A chief petty officer (CPO) or senior chief petty officer (SCPO) may sign reports on personnel E4 and below only. GS-13 or equivalent may sign reports for E1 to E9. Reporting senior authority for enlisted OICs in the grade of E7 and E8 may be delegated to sign E5 reports with the prior written approval of Navy Personnel Command (NAVPERSCOM) (PERS-32). All other reports will be signed by a senior in the chain of command having authority to report on the member concerned.

4-101 Raters

- a. EVALs on personnel E6 and below should contain the signatures of a rater and SR. The signature of the reporting senior is required. This ensures that Navy's senior enlisted and junior officer supervisors are properly included in the enlisted EVAL process.

b. The rater for personnel E1-E4 can be an E6 or civilian equivalent (GS-5). For personnel E5-E6, the rater should be a Navy CPO whenever possible, but if none is available within the command, the rater may be a military or civilian supervisor who is an E7 equivalent (GS-6) or higher. Typically, the SR will be the member's division officer or department head. The SR may be omitted where the reporting senior is the rater's immediate supervisor. Raters do not sign FITREPs on officers and CHIEFEVALs on CPOs, but a similar system may be used for the drafting of FITREPs and CHIEFEVALs. For E4 and below personnel, the rater can be an E6. Table 2-1 in chapter 2 of Reference (d) of this SOP provides guidance on evaluation raters, SRs, and reporting seniors for various sized commands.

4-102 Delegated Reporting Seniors

A delegated reporting senior is a person designated in writing by a CO to submit FITREPs, CHIEFEVALs, or EVALs for which that CO would otherwise be responsible. This delegation of authority must not be solely for the purpose of reducing the summary group size or increasing the promotion quotas. Delegation of reporting senior authority constitutes a transfer of that authority with the CO retaining certain oversight responsibilities as set forth in Enclosure (2), section 2-7 of Reference (d) of this SOP.

a. Delegation of Reports on Officers. Generally, FITREPs on officers are held at the CO level with delegation permitted. Delegated reporting seniors for officer reports must be in the grade of commander (O5), GS-14, or equivalent.

b. Delegation of Reports on Enlisted Personnel (E1 to E9). Reports on enlisted personnel may be delegated to that level of the command that can best observe and report on performance subject to the limitations outlined in Enclosure (2), section 2-7 of Reference (d) of this SOP.

c. Method of Delegation. Delegation should not be ad hoc but should instead be accomplished by a command instruction that designates delegated reporting seniors by billet and defines the scope of their authority. Delegation shall follow the normal chain of command. If the incumbent of a designated billet is not senior enough in pay grade or is unable to sign reports, or the CO withdraws an incumbent's reporting authority, the reports shall be signed by the next senior in the chain of command or by the CO.

d. Scope of Delegated Reporting Senior Authority. COs shall define the scope of delegated authority within their commands subject to the requirements referenced in Enclosure (2), section 2-7 of Reference (d) of this SOP.

e. Responsibilities of the CO for Delegated Reports. A delegated reporting senior is solely responsible for the content of reports submitted over their signature. The CO may not change or add comments to a delegated report or submit a report that covers any part of the same period. COs retain the responsibilities outlined in Enclosure (2), section 2-7 of Reference (d) of this SOP.

4-103 Assigned Reporting Senior

A reporting senior other than the official to whom a member reports for duty may be assigned in the member's orders or by other NAVPERSCOM correspondence.

4-104 Assumption of Reporting Senior Authority by the Immediate Superior in Command

The ISIC shall assume the reporting senior responsibility and authority of a subordinate commanding officer that dies, becomes incapacitated, is summarily relieved or detached for cause, or becomes seriously delinquent in submitting reports. The ISIC shall also assume reporting authority in circumstances (such as decommissioning) where FITREPs, CHIEFEVALs, and EVALs performance reporting responsibility may be unclear. In addition, the ISIC may assume the reporting senior authority of a CO that is involved in an investigation, inquiry, or disciplinary proceedings if the CO's capacity to submit impartial reports may be in question. This may be done either at the ISIC's initiative or at the request of the CO concerned. An ISIC may not assume reporting senior authority after a FITREP/CHIEFEVAL/EVALs performance report has been filed in the official record, unless directed to do so by the Secretary of the Navy or a general court-martial convening authority that has directed the removal of the original report from the record.

4-105 Assumption of Reporting Senior Authority by a General Courts-Martial Convening Authority.

If a general courts-martial convening authority grants FITREP, CHIEFEVAL, or EVAL relief under UCMJ, article 138, or U. S. Navy Regulations, 1990, article 1150, the convening authority granting the relief may assume authority for the affected report including administrative changes and supplements to the report.

4-106 Navy Evaluation Adviser in Non-Navy Commands

U.S. commands and agencies other than Navy are encouraged to appoint a Navy personnel evaluation adviser who will monitor evaluation practices with regard to Navy personnel and provide assistance and advice. If necessary, the nearest Navy command shall provide this service. Informal review of rough reports by the Navy personnel evaluation adviser is encouraged to ensure conformity to this instruction and to accepted Navy practices. Reviewer endorsements, comments, and signatures on the completed report are not authorized. Problems that cannot be resolved informally should be reported to NAVPERSCOM (PERS-32).

4-107 Joint Duty

Joint commands present unique challenges in determining reporting responsibilities because Services use different terminology to describe roles and responsibilities. Definitions, roles and responsibilities of rater, SR, or reporting senior are applicable to officers of other branches of the Armed Services and civilians in positions of authority under whom the member serves. Normally the supervisory chain will serve in these roles and evaluate the member. Joint

commands need to clearly define reporting responsibility in command guidance. Grade restrictions specified in this chapter for reporting responsibility will still apply for Navy personnel assigned to a joint command.

Section 2. Types of Reports

4-200 Regular Reports

Regular reports are the foundation of the performance record and must be submitted periodically per the schedule in Table 1, and on other occasions specified in the Evaluation Manual (EVALMAN). They must cover, day-for-day, all naval service on active duty (ACDU) or inactive drilling Reserve duty, except for enlisted initial entry training and other limited circumstances. Prior to submitting regular reports, efforts should be made to determine the ending date of the previous report, if any, to ensure regular report continuity is maintained.

a. Continuity and Frequency of Regular Reports. The regular report is the only report that provides continuity. The regular report must be continuous for all active and drilling Reserve service, except for initial entry training (see chapter 8), and other contingencies stated in this chapter. Retired personnel (retired/retained) serving on ACDU will not receive performance evaluation reports. Begin each regular report on the day following the ending date of the previous report. Regular reports, including letter-extensions, may not cover more than 15 months without NAVPERSCOM (PERS-32) approval.

b. Letter-Extension of Reports. Commands may extend previously submitted reports by letter for up to 3 months in place of another report occasion (e.g. Periodic, Detachment of Individual, Detachment of Reporting Senior or Promotion/Frocking report). **EXCEPTION:** Commands may not extend a previously submitted Promotion/Frocking or Detachment of Individual report in place of another report occasion. Letter-Extensions may not change or add to the performance traits or grade/rate, comments, or promotion recommendation on the original report, but may add to the duties performed and qualifications attained (block 29). More than one extension may be submitted, but a report may not be extended for a cumulative period of more than 3 months (including terminal leave), or if it will result in a total report period exceeding 15 months. Submit letter-extensions to NAVPERSCOM (PERS-32) and provide a copy of the letter extension to the member. PERS-32 will reject and return for correction any letter-extension that does not meet the criteria as discussed in this chapter. See exhibit 3-1 for a sample letter-extension.

c. Periodic Reports. A Periodic report may not be delayed and combined with another report in your current paygrade. Periodic reports are scheduled to allow necessary processing time prior to statutory selection boards. It is incumbent upon the reporting senior to submit periodic reports on time, so they may be processed in time to reach the selection board. Submit periodic reports per table 1 of enclosure (1) of Reference (d) of this SOP. A Periodic report may be extended in place of a Detachment of Individual, Detachment of Reporting Senior, or a Frocking report. Letter-Extensions for Periodic reports on officers may only be signed by the original reporting senior, or the new reporting senior from the originating command. Letter-Extensions for Periodic reports on enlisted personnel may be

signed by the original reporting senior, new reporting senior, or by direction from an authorized representative from the originating command.

d. Omission of Periodic Report. If the member received an Observed regular report ending no more than 3 months prior to the Periodic report date, the Periodic report may be omitted. If omitted, include the period in the next Regular report. The frequency between regular reports shall not exceed 15 months without NAVPERSCOM (PERS-32) approval.

e. Detachment of Individual Reports.

(1) Transfer. Submit a report when a member is permanently detached with orders to report to another command. Do not submit a report if the member transfers from one UIC or command to another and does not change reporting seniors. Also, do not submit a report if an activity is merely reconstituted with a different name/UIC and the member has the same reporting senior. Note the change of name/UIC in the next regular report.

(2) Reassignment of an Officer to another Reporting Senior. Submit a Detachment of Individual report if an officer is reassigned to another reporting senior within the command. This report is optional for enlisted personnel.

(3) Separation. Submit a report when a member is discharged, released to inactive (INACT) duty, or resigns. If transferred for separation processing (i.e., from overseas to a Continental U.S. shore activity) and the exact date of separation is unknown, the transferring command shall submit the report with an ending date of the member's expected expiration of active obligated service.

(4) Retirement or Death. Only submit a report upon retirement, transfer to the Fleet Reserve, or transfer to the Temporary Disability Retired List if the reporting senior wishes to make the performance a matter of record. Do not submit reports upon a member's death or for personnel in a retired/retained status.

(5) Missing or Prisoner of War Status. Submit a report when a member is declared to be in a missing or prisoner of war status. Additional reports are not desired for members in either of these statuses.

(6) Incarceration, Unauthorized Absence, and Deserter Status. Maintain regular report continuity while the member remains on board the command or until the member is moved from the command's UIC and transferred to the deserter UIC. Submit a Detachment of Individual report on transfer to a place of confinement or when a member who is declared a deserter has been transferred from the command to the deserter UIC. Reports are not required while at a place of confinement, on release, or during appellate leave following confinement. (Note: Block 15, report end date, on deserter reports should be the date the member is moved from the command's UIC to Navy Absentee Collection and Information Center. If an officer is returned to duty following confinement, contact NAVPERSCOM (PERS-32) for guidance).

(7) Relief from Command without Detachment. When a CO is permanently relieved of command, but is not detached, submit a Detachment of Individual report as of the date relieved. Note circumstances in the comments.

(8) Detachment for Cause. Detachment for cause is a formal action that must be approved by NAVPERSCOM, Conduct and Separations Division (PERS-83). Detachment for cause is described in reference (e) MILPERSMAN 1611-020 (officers) and MILPERSMAN 1616-010 (enlisted). Use the FITREP and EVAL procedures outlined in Chapter 3 of Reference (d) of this SOP while NAVPERSCOM (PERS-83) is adjudicating the detachment for cause request.

(9) Reorganization and Submission of Reports. Contact NAVPERSCOM (PERS-32) for assistance when it is not clear whether to submit a Detachment of Individual or Detachment of Reporting Senior report when a command has been decommissioned or reorganized.

f. Detachment of Reporting Senior Reports.

(1) Officers. Submit Detachment of Reporting Senior reports upon detachment of a regular reporting senior, or in the case of a delegated reporting senior, reassignment of the reporting senior within the command. (Note: Detachment of Reporting Senior reports are not required from an interim reporting senior who has been on board for 3 months or less if the reporting senior's permanent relief agrees to cover the period in the next Regular report. The interim reporting senior must submit Periodic and Detachment of Individual reports when due.) Detachment of Reporting Senior reports may be extended.

(2) Enlisted. Detachment of Reporting Senior reports are optional for E1-E9. If Detachment of Reporting Senior reports are submitted, the reporting senior must submit reports on all personnel in the same pay grade who are normally evaluated by that reporting senior. Detachment of Reporting Senior reports for E1-E6 are discussed in this chapter under paragraph 3-9 of Reference (d) of this SOP.

(3) Officers and Enlisted. If Detachment of Reporting Senior reports were submitted for a particular pay grade, and, if the next report is the Periodic report but is less than 90 days from the previous Detachment of Reporting Senior report, the Periodic report may be omitted and added to the next period. However, if the new reporting senior submits a Periodic report, he or she must do so for all personnel in the same pay grade who are normally evaluated by that reporting senior. Detachment of Reporting Senior reports may be extended in place of a Periodic or Detachment of Individual report. Letter-Extensions for Detachment of Reporting Senior reports on officers may only be signed by the new reporting senior from the originating command. Letter-Extensions for Detachment of Reporting Senior reports on enlisted personnel may be signed by the new reporting senior or by direction from an authorized representative from the originating command.

g. Promotion/Frothing Reports.

(1) Enlisted (E6 only). Normally, a promotion/frothing report is not required except

as noted in this paragraph. Always submit a Promotion/Frocking EVAL upon promotion or frocking to E7. The Promotion/Frocking report closes out the EVAL record in the lower pay grade. Enter the old rate in block 2, enter "SELECTED" in block 8, and show the ending date as the date prior to frocking (or promotion if not previously frocked). Do not submit a report when a frocked member is permanently promoted. The report may be Not Observed if it covers only a relatively short period.

(2) Officers and Enlisted. Do not submit a promotion/frocking report for an officer or enlisted member who has been promoted unless the change will result in more than 15 months between Regular reports (e.g. Periodic, Detachment of Individual, or Detachment of Reporting Senior).

h. Special Reports. Special reports are considered to be special occasions for submission of Regular and Concurrent reports. Regular reports must maintain regular report continuity. State the justification for the Special report as the opening sentence of the comments. A report without this statement will be returned for correction. Circumstances under which Special reports may be submitted are discussed in Chapter 3 of Reference (d) of this SOP.

4-201 Concurrent and Concurrent/Regular Reports

Concurrent reports provide a record of significant performance for ACDU, Temporary ACDU, Full Time Support (FTS) members fulfilling additional duty (ADDU) or temporary additional duty (TEMADD) orders; and for Reservists supporting the ACDU and/or their designated cross-assigned billet assignment. They are optional unless directed by higher authority and may not be submitted by anyone in the regular reporting senior's direct chain of command. A Concurrent report must be countersigned by the regular reporting senior, who may also make it the regular report for the period concerned if continuity is maintained with the previous regular or regular/concurrent report. Refer to EVALMAN, chapter 4 for detailed requirements.

a. Concurrent Reporting Senior. Concurrent reporting senior is defined as the CO or OIC of a UIC or command to which a member has been assigned via competent orders or directives.

(1) Individuals in the same command or UIC as the regular reporting senior may not act as a Concurrent reporting senior, even if ADDU, TEMADD, or Cross-assignment orders have been issued. Neither may anyone who is senior or subordinate to the regular CO or OIC in the same immediate chain of command act as a Concurrent reporting senior (e.g., if member is sent from a squadron to a wing for TEMADD, the wing cannot submit the concurrent report because the wing commander is the reporting senior for the member's CO).

b. Criteria for Submitting Concurrent Reports. Concurrent reports should be submitted for members on assignments wherein their performance is significant but cannot be sufficiently evaluated by their regular reporting senior. A trait graded Concurrent report should be submitted when an assignment exceeds 90 days, except for duty under instruction. Periods from 10 to 90 days may be Not Observed (NOB) reports per chapter 6. Periods fewer than 10 days should be covered by a Performance Information Memorandum (PIM) per chapter 12 of Reference (d) of this SOP. Concurrent reports are highly encouraged but remain optional except as follows:

(1) Mandatory Concurrent Reports for Designated Billets. Concurrent reports may be required on individuals occupying designated billets. These requirements may be established only by NAVPERSCOM orders or by directives of the Secretary of the Navy; the Chief of Naval Operations; Commander, Navy Personnel Command; or a common superior to the permanent duty and supported directors.

(2) Detachment for Cause. This is an exception to the rule that allows a Concurrent report to be submitted by a reporting senior in the same chain of command as the original reporting senior. Refer to chapter 3, paragraph 6h.

c. Occasions for Concurrent Reports. Concurrent reporting seniors may submit FITREPs, CHIEFEVALs, and EVALs as follows:

(1) Periodic Reports. The concurrent reporting senior may submit when Periodic reports are due, particularly if the report will be endorsed as a Concurrent/Regular per paragraph 4-8 of Reference (d) of this SOP.

(2) Active Duty Detachments. The Concurrent reporting senior will submit when ACDU and FTS members detach from ADDU or Temporary Additional Duty (TEMADD) status; and when Reservists detach from ACDU orders per paragraph 10-6 of Reference (d) of this SOP.

(3) INACT Duty Reservist. Active Unit Identification Code (AUIC) or Unit Mobilization Unit Identification Code (UMUIC) Concurrent reporting seniors may submit reports on INACT duty Reservists for Annual Training or Active Duty for Training per paragraph 10-5 of Reference (d) of this SOP. This may also include Reservists who support an AUIC or UMUIC via INACT duty training (IDT) if performance warrants. Refer also to guidance in paragraph 9-6 for INACT duty reports.

(4) Detaching Reporting Senior. Concurrent reports may be submitted upon detachment of a concurrent reporting senior for officers; and as Special reports for enlisted per paragraph 4-5 of Reference (d) of this SOP.

d. Concurrent Special Reports. Concurrent reporting seniors may submit Special Reports on the circumstances noted below. Concurrent Special Reports will not account for continuity purposes unless endorsed by the regular reporting senior as Concurrent/Regular and maintain regular report continuity. For more details for each circumstance below refer to Chapter 4 of Reference (d) of this SOP.

(1) Submit/Withdraw Enlisted Advancement Recommendations or Establish Performance Mark Averages.

(2) Misconduct.

(3) Reduction in Rate (enlisted only).

(4) Detachment of Reporting Senior.

e. Promotion Recommendation Summary Groups. Concurrent reports are normally grouped together, but separately from Regular reports. Concurrent/Regular reports are considered Concurrent reports for summary group purposes. As an option, the concurrent reporting senior may group Regular and Concurrent reports together if they are submitted on the same date and distinctly assess the same duties for the same period. If this is done, indicate the exception on the summary letter.

f. Policies and Procedures for Submitting Concurrent Reports. The below steps must be followed to ensure proper submission:

(1) Preliminary Summary Group(s). Concurrent reporting seniors must submit preliminary copies for their entire summary group(s) directly to PERS-32. Upon receipt, a memorandum will be placed in the member's Official Military Personnel File stating the report was accepted without the regular reporting senior's endorsement. When the final countersigned report(s) is received, both the unsigned report and memorandum will be removed.

(2) Countersignature(s). Concurrent reporting seniors must transmit ALL completed FITREPs, CHIEFEVALs, and EVALs to the appropriate Regular reporting senior(s) as noted in paragraph 4-2 of Reference (d) of this SOP to be countersigned in either box 47 or 52. This may include Concurrent reports in same summary group but with different Regular reporting seniors.

(3) Official Submission. Upon receipt of Concurrent reports, Regular reporting seniors must endorse and submit countersigned original reports to PERS-32 and provide signed copies to the originator and member. A countersignature only verifies that the report has been submitted but does not necessarily imply agreement with its content. Furthermore, a regular reporting senior's cumulative average is not affected by Concurrent reports or Concurrent/Regular reports.

(4) Records Management. Concurrent reporting seniors must coordinate with Regular reporting seniors to ensure that all reports in their summary group(s) are submitted to PERS-32. Both parties are required to maintain copies in their respective command files. However, it is the responsibility of the Regular reporting senior to provide copies of the final countersigned report to both the member and the Concurrent reporting senior.

g. Endorsement as Concurrent/Regular Report. A Concurrent report may be endorsed as Concurrent/Regular at the discretion of the Regular reporting senior to fulfill a member's annual periodic report requirement per the following criteria:

(1) Endorsement. The Regular reporting senior must ensure that boxes 17 and 18 are both marked with an "X." If block 17 is unmarked, the report will remain Concurrent. Block 20 must be marked if a physical fitness assessment was not performed at the concurrent command. However, no further comments can be entered in blocks 41 or 43. When reports are endorsed as Concurrent/Regular, the reporting senior's cumulative average is still based on the Concurrent reporting senior.

(2) Maximum Period and Gaps. There must be no gap or break between the beginning date of the Concurrent report and the ending date of the previous Regular report (i.e., the Regular report ends on 13SEP15 and the Concurrent report begins on 13SEP16). Additionally, when combined, a Concurrent/Regular report may not exceed a total period of 15 months.

(3) Period Overlaps. Concurrent reports with dates that overlap with a member's prior Regular report may be endorsed as Concurrent/Regular.

h. Extension of Concurrent and Concurrent/Regular Reports. A Concurrent report may be extended by letter per paragraph 3-3. Use the format of exhibit 3-1 and forward a copy of the extension to the regular reporting senior for file. A regular reporting senior may extend a Concurrent/Regular report, with a copy to the concurrent reporting senior, provided the resulting total report period does not exceed 15 months.

i. Adverse Concurrent Reports. If there is any adverse matter in either a Concurrent or Concurrent/Regular report, the regular reporting senior must ensure that appropriate page 13 entries have been made (for enlisted), and that the member has signed and been afforded the right to submit a statement. Both reporting seniors shall endorse the member's statement.

j. Flag Officer Endorsements of Reports on Captains. When the officer reported on is a Navy Captain, and the concurrent reporting senior is also a Navy Captain in the same competitive category, the report must be endorsed, and can be commented on, by either the first flag/general officer or Selectee in the chain of command; or another flag Officer designated for this purpose. The endorsement is not required for Not Observed reports or if the concurrent reporting senior is a flag officer Selectee. See chapter 11 of Reference (d) of this SOP for endorsement procedures.

4-202 Operational Command Reports

Operational Command reports are optional and may only be submitted on COs or OICs as observed by their operational commanders who are not also their regular reporting seniors. Refer to EVALMAN, chapter 5 for detailed requirements.

a. Operational Commander Reporting Senior. An Operational Commander reporting senior must be a commander, other than the regular reporting senior, to whom a CO or OIC has reported for operational command and control, pursuant to competent written orders.

b. Occasion for an Operational Commander Report. An Operational Commander report is normally submitted on detachment of the reporting senior or individual but may also be submitted when a Periodic Regular report is due.

c. Promotion Recommendation Summary Groups. Operational Commander reports are summarized among themselves. Summary group criteria are the same as for Regular reports (see chapter 3).

d. Forwarding of Operational Commander Reports. Forward Operational Commander reports directly to NAVPERSCOM (PERS-32) and provide a copy to the individual reported on and the regular reporting senior. The regular reporting senior does not countersign an Operational Commander report and may not endorse it as a regular report but may comment on it in a subsequent regular report and may cite it as justification for a Not Observed Regular report for the same period. If a flag officer endorsement is required (a captain reporting on a captain in the same competitive category), forward the report via the Operational Commander's endorsing flag officer.

Section 3. Completing, Processing and Mailing Reports

4-300 Preparing with Electronic Forms Software

NAVPERSCOM (PERS-32) supplies application programs to support automated preparation and submission of FITREPs, CHIEFEVALs, and EVALs. These applications print complete, filled-in reports and summary letters on plain paper. The software provides help screens, spell check, calculates the individual trait averages, and has validation features that will prevent many common errors. The program is available for downloading at: <http://www.public.navy.mil/BUPERSNPC/CAREER/PERFORMANCEEVALUATION/Pages/SoftwareForms.aspx>. The same Web site also contains interactive Adobe forms for all pay grades that are authorized for use instead of the NAVFIT98A application. These interactive Adobe forms permit spell check, print and limited validation checks on completed reports.

4-301 Preparing Paper Copies of the Report.

The number of required paper copies is as follows:

Report Copies

Grade of Member	Number of Copies	NAVPERSCOM	Member	Reporting Senior	Command
O1-O6, W2-W5	3	X	X	X	
E7-E9	4	X	X	X	X
E5-E6	3	X	X		X
E1-E4	3	X	X		X

NAVPERSCOM copy is the official record copy for E1 to O6. Although original reports and signatures are preferred, photocopied signatures are acceptable. When laser-printing or copying the report, it is preferred that the back of the form be printed or copied head-to-toe on the reverse of the front.

4-302 Preparing the Summary Letter

Each summary group shall be mailed with a summary letter, even if the summary group consists

of only one report. See exhibit 1-7 for the summary letter format. Summary letters for Not Observed reports will be identified by "NOB" in the Trait Average column and the promotion recommendation breakout will be blank. The NAVPERSCOM-supplied software will produce the summary letter. If the reports are prepared manually (e.g., CHIEFEVAL), the summary letter must also be prepared manually on a preprinted form NAVPERS 1610/1 FITREP/EVAL Summary Letter).

4-303 Mailing Procedures

Mail reports within 15 days of the ending date for ACDU members and within 30 days for inactive duty members. The package shall include the signed summary letter and all original reports.

a. Mailing to NAVPERSCOM

(1) Mail the reports and summary letters flat in a standard 9" x 12" envelope. Do not separate the summary group. Mail all reports in a summary group in one package. Do not use security wrappings unless a classified supplement is enclosed (see below). Double envelopes are not required. More than one summary group may be enclosed in each envelope. Special mailing, i.e., certified or registered mail is not required nor desired as it is an unnecessary added expense to the command and does not necessarily mean the report or batch of reports will be processed any faster.

(2) If a member is not available for signature, do not delay the entire summary group. The reporting senior should clearly enter in the member's signature block "certified, copy provided" (excluding adverse reports) and forward the entire summary group to NAVPERSCOM (PERS-32). Ensure the member is provided a copy by some means. Information concerning adverse reports and signature requirements is found in chapter 14.

(3) Address all reports to:

COMMANDER
NAVY PERSONNEL COMMAND PERS-32
5720 INTEGRITY DRIVE
MILLINGTON TN 38055-3200

b. Mailing to a "via" addressee (regular reporting senior on a Concurrent report). If all reports in the same summary group have the same via addressee, forward advance copies of entire summary group(s) directly to NAVPERSCOM (PERS-32) in conjunction with mailing the reports for the required countersignature and/or endorsement. Retain a reproduced copy in case the originals are lost or misplaced. The via addressee, after completing their action, will forward the entire summary group to NAVPERSCOM (PERS-32) and forward a reproduced copy of the countersigned reports back to the originator. If the reports do not have the same via addressee, then the concurrent reporting senior will forward advance copies of entire summary group(s) directly to NAVPERSCOM (PERS-32) in conjunction with forwarding the original report(s) to the regular reporting seniors to countersign. The regular reporting senior shall sign and return

the original report to NAVPERSCOM (PERS-32) for action and provide a copy to the concurrent reporting senior.

c. Mailing to a Member. Double envelopes are not required, provided the mailing envelope is opaque. The copy may be folded. Mark the envelope **PERSONAL**.

d. Classified Supplements. The supplement must have all required security markings. Do not classify the report form. Mail the report and classified supplement with its summary group, regardless of whether classified supplements are submitted with the other reports in the group. Refer to SECNAV M-5510.36 of 1 June 2006 for instructions on mailing classified material. Address all classified supplements and reports to:

COMMANDER
NAVY PERSONNEL COMMAND PERS 534
SECURITY MANAGER
5720 INTEGRITY DRIVE
MILLINGTON TN 38055-5340

4-304 Total Force FITREP/EVAL Periodic Report Calendar

The below FITPER/EVAL Periodic Report Calendar applies to all ACDU, FTS, and INACT duty Reserve personnel. FITREP ending dates are the last day of the month for all officers. CHIEFEVAL and enlisted EVAL ending dates are the 15th day of the month. A Periodic report may be omitted if a member has received a graded Regular report within the prior 3 months. The omitted period is included in the next Regular report. Otherwise, periodic reports must be submitted on the above dates, and may be extended by letter for up to 3 months in lieu of a Detachment report. In no case, however, should a total report period exceed 15 months.

	PERIODIC FITREP/CHIEFEVAL/EVAL	
	Officers (All)	Enlisted (All)
Jan	O3	
Feb	O2	
Mar	W5, W4, W3	E5
Apr	O5	E9
May	O1	
Jun		E4
Jul	O6	E3, E2, E1
Aug		
Sep	W2	E8, E7
Oct	O4	
Nov		E6
Dec		

Section 4. Forms

4-400 Evaluation Forms

- a. OPNAV 5239/14 System Authorization Access Request-Navy is available at <https://navalforms.documentservices.dla.mil/formsDir/ OPNAV 5239 14 7631.pdf>.
- b. The following forms may be obtained at <http://www.public.navy.mil/bupers-npc/reference/forms/NAVPERS/Pages/default.aspx>.
 - (1) NAVPERS 1610/5 Fitness Report and Counseling Record (O7-O8).
 - (2) NAVPERS 1610/2 Fitness Report and Counseling Record (W2-O6).
 - (3) NAVPERS 1616/27 Evaluation and Counseling Record (E7-E9).
 - (4) NAVPERS 1616/26 Evaluation Report and Counseling Record (E1-E6).
- c. NAVPERS 1616/23 MEMORANDUM – Signature Authentication to Accept Non-CAC user FITREPS is available through the Office of the Chief of Naval Operations (OPNAV), Flag Matters (N00F) at (703) 604-5750/DSN 22

CHAPTER 5

ACRONYMS AND ABBREVIATIONS

AER	Academic Evaluation Report
ADCU	Active Duty
AFPC	Air Force Personnel Center
AHRC-PDV-E	U.S. Army Human Resources Command
AMEDD	Army Medical Command
AMHRR	Army Military Human Resource Records
ANG	Air National Guard
ANGU	Air National Guard of the United States
ARPC	Air Reserve Personnel Center
AUIC	Active Unit Identification Code
CRO	Change of Reporting Official
CHIEFEVALS	Chief Evaluations
CPO	Chief Petty Officer
CO	Commanding Officer
ACA	Comprehensive Assessments
DHA	Defense Health Agency
DoD	Department of Defense
HQDA	Department of the Army
EES	Enlisted Evaluation System
EPR	Enlisted Performance Report
EVALS	Evaluations
EVALMAN	Evaluation Manual
Non-EAD	Extended Active Duty
FITREPs	Fitness Reports
FTS	Full Time Support

GO	General Officers
HRC	Human Resource Center
ISIC	Immediate Superior in Command
iPERMS	interactive Personnel Electronic Records Management System
IAW	In Accordance With
INACT	Inactive
JAGC	Judge Advocate General Counsel
ML	Management Level
MAJCOM	Major Command
MILPERSMAN	Military Personnel Manual
MPS	Military Personnel Section
NCR	National Capital Region
NAVPERSCOM	Navy Personnel Command
NLT	No Later Than
NCOER	Noncommissioned Officer Evaluation Reports
NOB	Not Observed
OER	Officer Evaluation Reports
OIC	Officer in Charge
OPR	Officer Performance Report
PAS	Personnel Accounting Symbol
RegAF	Regular Air Force
SCOD	Static Close-Out Date
SCPO	Senior Chief Petty Officer
SES	Senior Executive Service
SNCO	Senior Noncommissioned Officer
SR	Senior Rater
SSN	Social Security Number
SOP	Standard Operating Procedure

STEP	Stripes for Exceptional Performers
TEMADD	Temporary Additional Duty
UMUIC	Unit Mobilization Unit Identification Code

CHAPTER 6

REFERENCES

- (a) Army Regulation 623-3, "Evaluation Reporting System," June 14, 2019
- (b) Department of the Army Pamphlet 623-3, "Evaluation Reporting System", November 10, 2015
- (c) Air Force Instruction 36-2406, "Officer and Enlisted Evaluation Systems", November 8, 2016
- (d) BUPERS Instruction 1610.10D, "Navy Performance Evaluation System", May 1, 2015
- (e) MILPERSMAN 1611-020, "Officers Performance", November 14, 2018
- (f) MILPERMAN 1616-10, "(Enlisted Performance (E-6/7/8/9))", September 20, 2011