

Officer Evaluation System



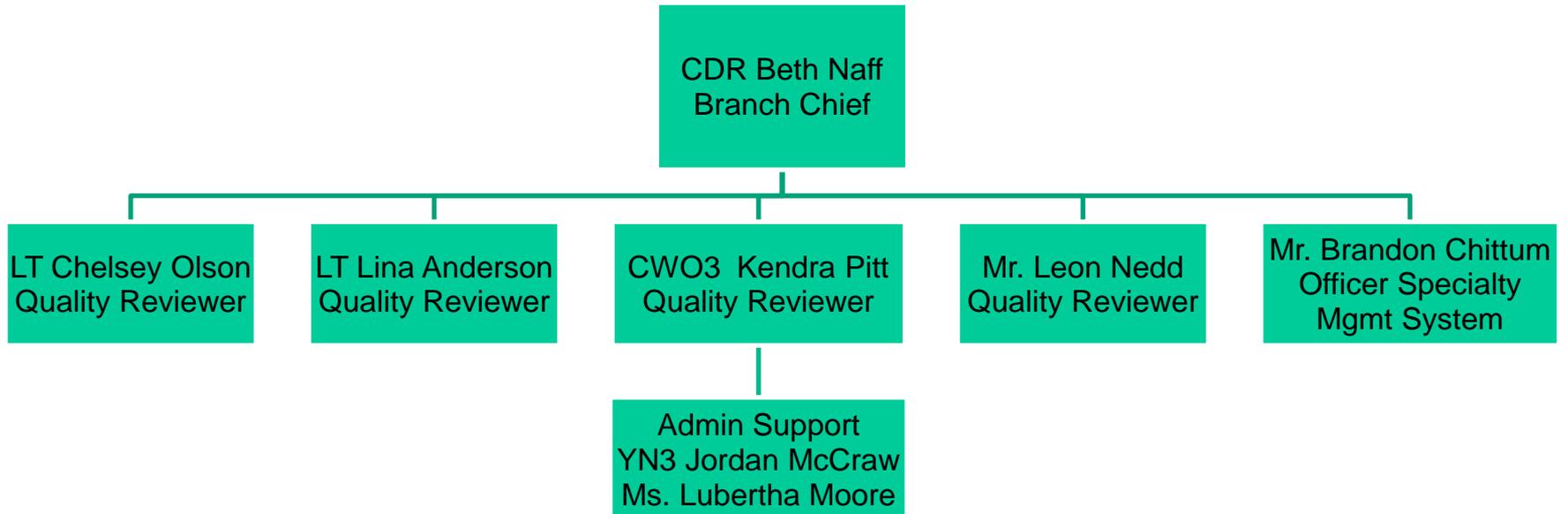
OES Training

August 2015

PSC-opm-3



Officer Evaluations Branch



What does PSC-opm-3 do?

Advise on OES policy (COMDTINST M1000.3A)

Ownership of OES procedures (PSCINST M1611.1B)

OER consultation

Review/validate active duty OERs (~ 9600/yr)

- Ensure compliance with OES policy
- Expedite for Selection Boards/Panels
- Forward validated OERs to military records

Provide OES input to following:

- Personnel Records Review Boards (PRRB)
- Boards for Correction of Military Records (BCMR)



Military Records Branch (PSC-bops-mr)

Manage electronically imaged personnel data records (EI-PDR)

- enter authorized documents into your EI-PDR*

Provide copies of EI-PDR (upon request)**

Return copy of your validated OER

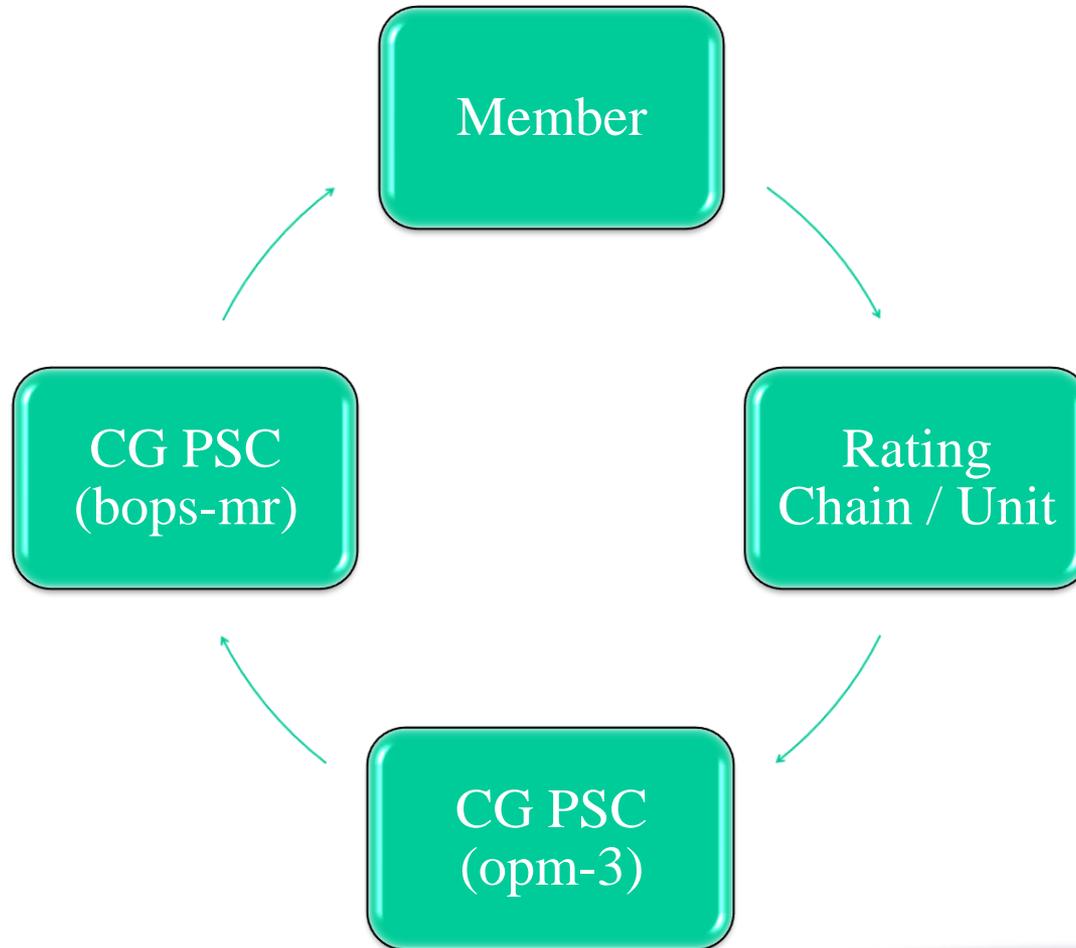
Provide copies of OERs (upon request)**

* Military PDR System, COMDTINST M1080.10i

** <http://www.uscg.mil/psd/mr/>



OER Process



Officer Evaluation System

Officer Accessions, Evaluations, and Promotions Manual

COMDINST M1000.3A, Chapter 5

Officer Evaluation System Procedures Manual

PSCINST M1611.1B

OER is most important document in an officer's record

Key for personnel management decisions

- Promotions
- Assignments
- Retention
- Career Development



OES Policy

Commanding Officers:

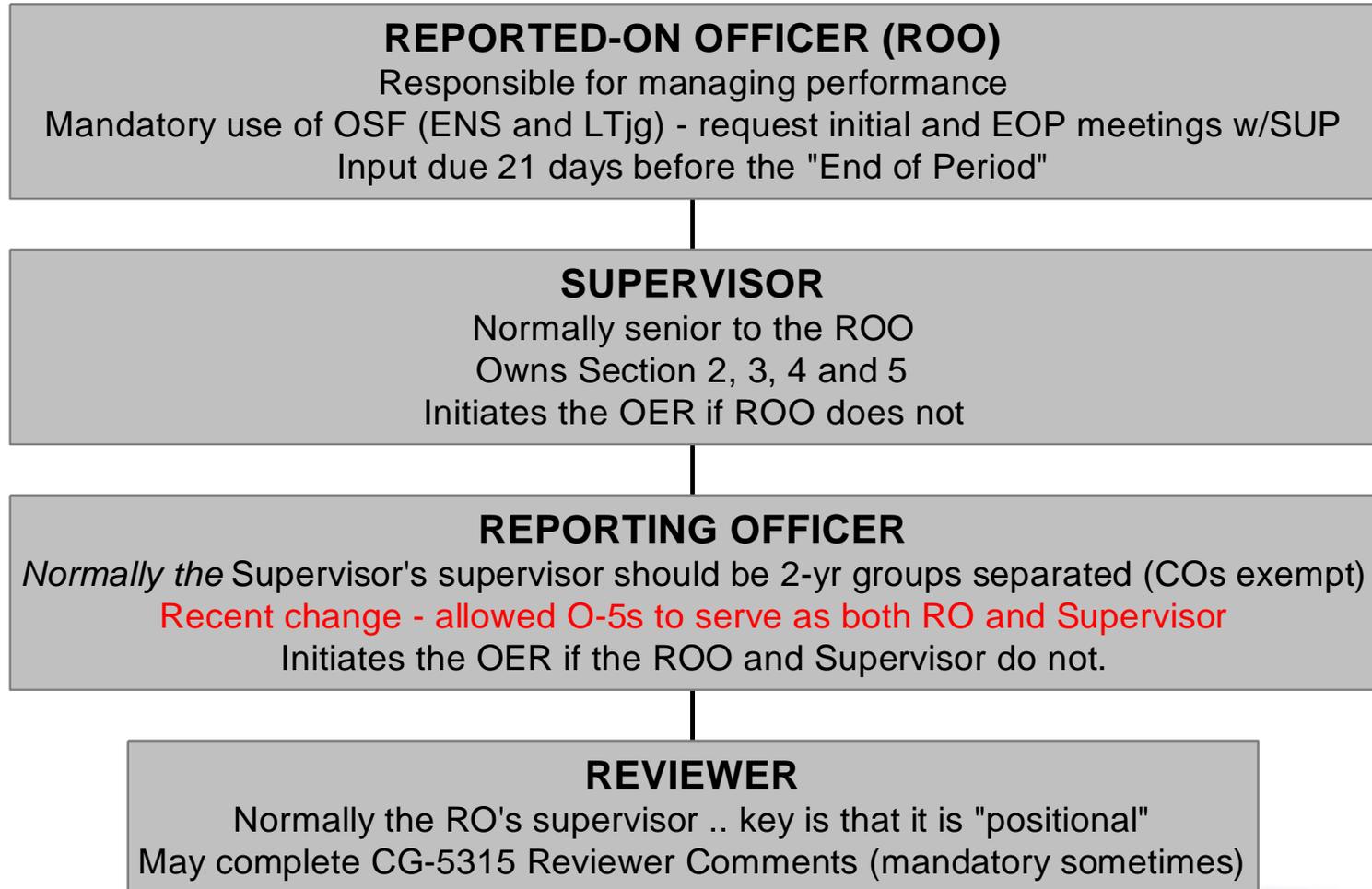
- ensure accurate, fair and objective evaluations are provided to all officers under their command
- designate /publish command rating chains
- ensure civilian rating chain members are properly trained

Individual Officers:

- responsible for managing their own performance
- understand job expectations
- obtain sufficient feedback to succeed
- use guidance to meet or exceed standards



Rating Chain



Civilian Rating Chain

Must receive formal and documented training from PSC-opm-3.

Supervisor

- U.S. govt civilian employees may serve as Supervisors.

Reporting Officer (RO)

- U.S. govt civilian employees may serve as RO.
- If RO is not a CG Officer or CG SES civilian, a CG-5315 is required with the comparison scale filled in.
- Only CG SES can be both Supervisor and RO on same OER.

Reviewer

- Only CG SES members, may serve as Reviewer.
- No Reviewer for Ensign OERs



OER Forms

(Rev. 02/09)

CG-5310A (W2 – W4, O2)

CG-5310B (O3 – O4)

CG-5310C (O5)

CG-5310D (O6)

(Rev. 10/13)

CG-5310E (O1)

(Rev. 06/13)

CG-5310F (DUINS)

CG-5310G (Continuity)

CG-5310H (Concurrent/O1)

CG-5310I (Concurrent/CWO
& O2)

CG-5310J (Concurrent/O3-
O4)

CG-5310K (Concurrent O5)

CG-5310L (Concurrent O6)



OER Forms (cont.)

Reviewer Comments:

CG-5315A (W2 – W4, O2)

CG-5315B (O3 – O4)

CG-5315C (O5)

CG-5315D (O6)

Comments page:

CG-5315E (O1, signed by Supervisor)



Occasions Of Report

Annual/Semi-Annual	(Routine)	} Regular OERs
Detachment of ROO	(PCS/Transfer)	
Detach/Change of RO	(Change)	
Promotion	(CAPT / CWO-to-LT)	
Concurrent	(TDY >60 days)	
Special	(several categories)	
Continuity OER	(separations, adjudication)	
Duty Under Instruction	(DUINS)	



ROO Responsibilities

Familiarize self with OES/OER policies & procedures;

Seek performance expectations from supervisor;

- manage own performance & obtain feedback
- Prepare Section 1, Administrative Data, of OER

Provide list of accomplishments/bullets to Supervisor;
(NLT 21 days prior to end of period of report)

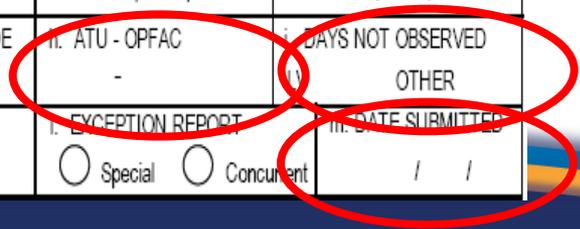
- *OER coverage required for every day of commissioned service -*



ROO Responsibilities

- Make sure data in Block 1 is correct
 - Date of Rank & Date Reported
 - If not correct, OPM-3 will edit
 - ATU-OPFAC – **Leave blank**
 - Days Not Observed – **Leave blank**
 - Date Submitted – **Leave blank**

U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-5310A (Rev. 02-09)		OFFICER EVALUATION REPORT (OER)			Validation: 		
1. ADMINISTRATIVE DATA		I understand my signature below does not constitute agreement or disagreement. I acknowledge I have reviewed this report.				(YYYY/MM/DD)	(YYYY/MM/DD)
a. NAME (Last)		(Initials)	b. Reported-on Officer Signature 		c. DATE OF RANK / /		d. DATE REPORTED / /
e. UNIT			f. EMPLID	g. GRADE	h. ATU - OPFAC -		i. DAYS NOT OBSERVED OTHER
j. PERIOD OF REPORT (YYYY/MM/DD) / / TO / /		k. OCCASION FOR REPORT (Mark only one) <input type="radio"/> Annual/ Semiannual <input type="radio"/> Detachment/Change of Reporting Officer <input type="radio"/> Detachment of Officer <input type="radio"/> Promotion			l. EXCEPTION REPORT <input type="radio"/> Special <input type="radio"/> Concurrent		m. DATE SUBMITTED / /



Supervisor Responsibilities

Provides direction and observes your performance

Provides counseling and feedback

Completes sections 2 through 6;

- compares performance/qualities against standards – not against other officers
- based on direct observation & input/info from you

- Can be civilian or military -



Reporting Officer Responsibilities

Ensures Supervisor fulfills their OER responsibilities

- cannot direct Supervisor to change marks/comments

Completes sections 7 through 11

- compares performance/qualities against standards – not against other officers
- based on direct observation & input/info from Supervisor

Mark Comparison Scale & address Potential

Forwards OER to Reviewer

- Can be civilian or military -



Reporting Officer Responsibilities

Select appropriate bubble in block 7

- If you disagree w/ Supervisor, state why & be specific
- Do not direct Supervisor's marks/comments
 - You can argue whether a comment supports the mark
 - Do not sign Section 11 before end of period!

7. REPORTING OFFICER COMMENTS: Supplement or amplify Supervisor's evaluation. Concur Do not concur RO is Supervisor



Comparison Scale

9. COMPARISON SCALE (FOR GRADES W2 TO O2): Compare this officer with others of the same grade whom you have known in your career.

UNSATISFACTORY	A QUALIFIED OFFICER	ONE OF THE MANY COMPETENT PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE	AN EXCEPTIONAL OFFICER	A DISTINGUISHED OFFICER
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. COMPARISON SCALE (FOR GRADES O3 & O4): Compare this officer with others of the same grade whom you have known in your career.

Performance unsatisfactory for grade or billet.	Marginal performer; limited potential.	Fair performer; recommended for increased responsibility.	Good performer; give tough, challenging assignments.	Excellent performer; give toughest, most challenging leadership assignments.	Strongly recommended for accelerated promotion.	BEST OFFICER of this grade.
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. Comparison Scale: Compare this Commander alongside all Commanders you have known throughout your career. (Mark only one)			Promotion Scale: (Mark only one)	
Top 10% of all Commanders	One of the few Distinguished performers.		Best Officer of this grade.	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Majority of high performing Commanders	Strong performer; very competent and respected professional.	Excellent performer; highly recommended for positions of increased responsibility.	Exceptional performer; give toughest and most visible leadership assignments.	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Below the majority of Commanders	Unsatisfactory performance/conduct; no potential for increased responsibility.	Steady performer; limited potential for increased responsibility.		
	<input type="radio"/>	<input type="radio"/>		
			<input type="radio"/>	Recently Promoted to O5 **
			<input type="radio"/>	Already Selected to O6
			<input type="radio"/>	Accelerated Promotion/ In-Zone Reordering
			<input type="radio"/>	Definitely Promote
			<input type="radio"/>	Promotion Potential
			<input type="radio"/>	Do Not Promote
Reporting Officer Comparison Scale History: All CG Reporting Officers will provide their O5 comparison history strip to the Reviewing Officer.			** Less than 12 months in rank	

Note: This is a relative ranking; not necessarily a trend of performance.



Potential

Mandatory:

Ability to assume greater leadership roles and responsibilities

Optional:

Assignments

Promotion recommendation

PG and Senior Service Schools

Special skills



Reviewer Responsibilities

Determines if Supervisor/RO fulfilled their OER responsibilities

- return if inconsistencies are found
- cannot direct Supervisor or RO to change marks/comments

Ensures OER reflects consistent picture of performance

May address add'l performance/potential on CG-5315

Ensure OER arrives at OPM-3 NLT 45 days after EOP of report

- *Must be a CG Officer, CG SES civilian or USPHS Flag Officer -*



Reviewer Responsibilities

Reviewer (Section 12 only)

- Do not direct anyone's marks or comments
 - If the Reviewer disagrees with the OER, use a CG-5315
 - Check block 12.a
- Do not sign Section 12 before end of period
- ROO (W2 – LCDR) signs after the Reviewer

11. REPORTING OFFICER AUTHENTICATION					(YYYY/MM/DD)
a. NAME AND SIGNATURE	b. GRADE	c. EMPLID	d. TITLE OF POSITION	e. DATE	/ /
12. REVIEWER AUTHENTICATION					
a.	COMMENTS ATTACHED: (Required when the Reporting Officer is not a CG Officer or CG SES or when Reported-on Officer is unable to review OER.)				
b. NAME AND SIGNATURE	c. GRADE	d. EMPLID	e. TITLE OF POSITION	f. DATE	/ /



New ENS OER (CG-5310E)

Highlights

One page form

Two member rating chain , there is no Reviewer

-CG officer must sign as RO

Only need to comment on three performance dimensions which “best characterize the officer”

No longer required to support marks higher than a ‘4’ with comments



New ENS OER (cont'd)

Comments are required for ALL sub-standard performance
(CG-5315E may be used)

Comments should be more narrative

List qualifications earned only during the period of report

***Refer to PSCINST M1611.1B, Chapter 11, for specific
guidance on how to use the CG-5310E form***



New ENS OER (cont'd)

****MUST always Enable JavaScript for this document****

CG5310E (ENS OER).pdf (SECURED) - Adobe Acrobat Standard

File Edit View Document Comments Forms Tools Advanced Window Help Autodesk DWF

Create PDF Combine Files Export Secure Sign Review & Comment

Sticky Note Text Edits

JavaScript is currently disabled and this document uses it for some features. Enabling JavaScript can lead to potential security issues.

Options Help

DEPARTMENT OF HOMELAND SECURITY
U.S. Coast Guard
OFFICER EVALUATION REPORT

Validation

PRIVACY ACT STATEMENT

This information is requested under the authority of 14 U.S.C. 833 to determine an officer's suitability for promotion or job assignment. Submitting this information is mandatory. Failure to provide it could adversely affect promotion opportunities and job assignment or lead to disciplinary action.

1. ADMINISTRATIVE DATA

I understand my signature below does not constitute agreement or disagreement.
I acknowledge I have reviewed this report.

(YYYY/MM/DD) (YYYY/MM/DD)

a. NAME (Last) (Initials) Reported-on Officer Signature c. DATE OF RANK d. DATE REPORTED

e. UNIT f. GRADE g. EMLPID h. OFFICER STATUS/ORDERS (Mark only one)

Regular AD/Reserve on EAD Reserve not on EAD

i. PERIOD OF REPORT (YYYY/MM/DD) j. OCCASION FOR REPORT (Mark only one)

Semiannual/Annual Detachment/Change of Reporting Officer Detachment of Officer Promotion Special Concurrent

2. DESCRIPTION OF DUTIES: List primary duty and summarize all duties and responsibilities.

PRIMARY DUTY:

3. PERFORMANCE OF DUTIES: 4. PROFESSIONAL QUALITIES: 5. LEADERSHIP SKILLS: 6. COMMUNICATION SKILLS:

Planning and Preparedness Initiative Looking Out for Others Speaking and Listening

Using Resources Judgment Developing Others Writing

Results/Effectiveness Responsibility Directing Others

7. QUALIFICATIONS & COMPETENCIES:

Click the "open" button next to each performance category to open a separate document

New ENS OER (cont'd)

CG5310E (ENS OER).pdf (SECURED) - Adobe Acrobat Standard

Please fill out the following form.

3. PERFORMANCE OF DUTIES:	4. PROFESSIONAL QUALITIES:	5. LEADERSHIP SKILLS:	6. COMMUNICATION SKILLS:
<input type="radio"/> Planning and Preparedness 5	<input type="radio"/> Initiative 4	<input type="radio"/> Looking Out for Others 5	<input type="radio"/> Speaking and Listening 5
<input type="radio"/> Using Resources 5	<input type="radio"/> Judgment 5	<input type="radio"/> Developing Others 6	<input type="radio"/> Writing 4
<input type="radio"/> Results/Effectiveness 4	<input type="radio"/> Responsibility 6	<input type="radio"/> Directing Others 5	7. QUALIFICATIONS & COMPETENCIES:
<input type="radio"/> Adaptability 4	<input type="radio"/> Professional Presence 4	<input type="radio"/> Teamwork 5	
<input type="radio"/> Professional Competence 5	<input type="radio"/> Health and Well-Being 5	<input type="radio"/> Workplace Climate 6	
8. COMMENTS: Supervisor selects 3 performance dimensions that best characterize this officer.		<input type="radio"/> Evaluations 4	

USCG Unclass Banner

Bubble in 3 performance dimensions that best characterize this officer

List quals and competencies earned this marking period (see section 11.c.6)



New ENS OER (cont'd)

CG5310E (ENS OER).pdf (SECURED) - Adobe Acrobat Standard

File Edit View Document Comments Forms Tools Advanced Window Help Autodesk DWF

Create PDF Combine Files Export Secure Sign Review & Comment

Sticky Note Text Edits 175% Find

Please fill out the following form. Highlight Fields

9. SUPERVISOR AUTHENTICATION

a. NAME AND SIGNATURE b. GRADE c. EMPLID d. TITLE OF POSITION e. DATE (YYYY/MM/DD)

10. COMPARISON SCALE: Compare this Officer with others of the same grade whom you have known in your career.

Unsatisfactory <input type="radio"/>	Marginal performer, limited potential <input type="radio"/>	Fair performer, recommended for limited responsibility <input type="radio"/>	Good performer, give tough, challenging assignments <input type="radio"/>	Excellent performer, give toughest, most challenging leadership assignments <input type="radio"/>	An Exceptional Officer <input type="radio"/>	A Distinguished Officer <input type="radio"/>
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11. POTENTIAL: Describe the Officer's ability to assume greater leadership roles and responsibilities.

12. REPORTING OFFICER AUTHENTICATION

a. NAME AND SIGNATURE b. GRADE c. EMPLID d. TITLE OF POSITION e. DATE (YYYY/MM/DD)

Comments page attached: YES (see CG-5315E) Attachments:

CG-5310E (10/13)

Two-person rating chain, no Reviewer. Supervisor and RO must be two distinct persons. RO must be a CG officer.

Comments sheet (CG-5315E) ONLY authorized when additional room is needed to commend on substandard performance.



Marks and Comments

Numerical marks higher or lower than a “4” must be properly supported with amplifying comments.

An officer who receives an **Alcohol (AI)** or **Drug Incident (DI)** has not met the expected standards of performance for the *Judgment* dimension and therefore, cannot be given a mark of '4' or higher. See PSCINST M1611.1B, Chapter 2

An officer who receives an AI, DI or is not compliant with USCG **weight and body fat standards** has not met the expected standards of performance for the *Health and Well-Being* dimension, therefore, cannot be given a mark of '4' or higher

Rating chains must determine whether substandard performance of this nature should impact other OER performance dimensions (i.e., Responsibility, Professional Presence, etc.).



Numerical Marks

Mark	PERFORMANCE DIMENSION MARKING
1	(Derogatory) – Met all the written performance standards in the “2” level but the rater considered the impact as severely detrimental to the organization or to others.
2	(Below standard) – Met 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.
N	Insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the “not observed” circle is used.



A Well-Constructed OER Comment

What they did – its impact on the unit/CG/individual...

“Took initiative to assist unit prep for aviation STAN visit, learned particulars for aviation training jackets & meticulously examined 16 pilot records; efforts yielded 120 line items of discreps previously not detected by more senior pilots & ensured correction prior to official review – efforts earned an ‘outstanding’ rating from ATC Mobile.”



Restrictions

Rating chain shall not:

1. Mention the ROO's conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and NJP proceedings.
2. Consider or evaluate the performance of an ROO as a member of court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused.
3. Mention or allude to the fact that ROO was not selected by a Board/Panel.
4. Mention any PRRB/BCMR application or decision.
5. Mention any medical/psychological (incl NFFD) conditions, whether factual or speculative. Restriction applies to ROO and family members.
6. Mention pregnancy. Restriction applies to ROO and family members.



Restrictions

7. Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.
8. Place emphasis upon a third party by name, gender, religion, color, race, or ethnic background (e.g., Catholic lay minister, wrote award recommendation for African-American civilian, was a female role model).
9. Refer to the ROO by first name.
10. Refer to ROO's marital or family status.
11. Discuss performance or conduct occurring outside the reporting period.
12. Provide comments which include info subject to a security classification.
13. Reserve OERs shall not comment on non-CG employment (incl ROO's who are also employed as CG civilians)



OER Concerns

Excessive Abbreviations:

“Spb plg/prp res 4 mtg all op msn reqmts; thrly plnd 2 FL sts, 1 WWP, 1 GANTSEC, & 1 JIATF-S ptl & dpt cmptly prp’d for C4I mgtn.” *Confuses the reader.*

Community-Specific Acronyms:

“CATCH, ATP, PEL” – *Use only widely known acronyms; if unsure define thoroughly.*

Prohibited Comments:

Outside period of report (i.e., expected quals, promotions, degrees during next period).

Use of Personal Pronouns:

Not restricted... but avoid excessive use.

Too much emphasis on GRE words:

Use the space more productively ... is there much difference between “skillfully drafted 5 memos” compared to “drafted 5 memos”? Also do not use words such as “elucidation”: to give a clarifying explanation.



Dissatisfied with OER?

- **Reported-on Officer Reply ***

- express view of performance which differs from rating chain;
- comments are performance oriented (no personal attacks)
- does not serve as an appeal; is appended to OER

** Does not imply correction of the OER.*

- **Error or Injustice?**

- application for Correction of Military Record (DD-149)
- personnel Record Review Board (PRRB)
- board for Correction of Military Records (BCMR)

Correcting Military Records, COMDTINST 1070.1(series)



Special OERs*

Used to document:

- subsequent to below standard performance
- subsequent to disciplinary action
- consideration by Selection Panels or Boards
- significant historical performance



Also considered derogatory if:

- given a numerical mark of “1” in any dimension, or
- marked “Unsat” in *Comparison Scale*, or
- removed from primary duties / relieved for cause.

***Units must engage OPM-3 for guidance**



What Do Boards/Panels Consider?

Performance
Professionalism
Leadership

} OER/Assignments

Education CG- 4082, Test Scores, Official Transcripts

COMDT's Guidance COMDT's Guidance for
Boards & Panels

Board Precept CG PSC Memo to Panel President



Record Reviews

Copy of EI-PDR/OERs:

<http://www.uscg.mil/psc/adm/adm3/>

ARL-PF-CGPSCOFFRecords@uscg.mil

Live Record Review:

PSC-opm-4: CDR Pete Fant and LT Michael Moyseowicz

ARL-PF-CGPSC-OPM-4@uscg.mil



Active Duty Resources

OPM-3 Website:

<http://www.uscg.mil/psc/opm/Opm3/opm-3.asp>

OER Submissions:

ARL-PF-CGPSC-OPMOER@USCG.MIL

OER Questions:

ARL-PF-CGPSC-OPM@USCG.MIL

OER Waivers:

[ARL-PF-CGPSC-OPM-OER-WAIVERS](#)

Employee Summary Sheet (ESS):

http://cgbi.osc.uscg.mil/2.0/contentpanes/personal_files/summary_sheet.cfm/



Questions?

