

Officer Accessions, Evaluations, and Promotions COMDTINST M1000.3A

5.A.3. Occasion for Reports

The intent of the submission schedule is for officers with a biennial, annual, or semiannual reporting periods to be evaluated as closely to those frequencies as possible. While every effort has been made to accommodate possible deviations to the schedule, unusual circumstances may dictate the submission of reports, or not allow their submission, which may be contrary to the intent of the OES.

5.A.3.a. Annual, Semiannual, and Biennial OERs

Annual, semiannual, and biennial (on even numbered years) OERs are due as of the last day of the month as follows:

GRADE	ADPL	IDPL
Captain	April	April (Annual)
Commander	March	March (Biennial)
Lieutenant Commander	April	April (Biennial)
Lieutenant	May	May (Biennial)
Lieutenant (Junior Grade)	January and July (In zone/above zone promotion board eligible candidates EOP is 30 June vice 31 July.)	July (Annual) (In zone/above zone promotion board eligible candidates EOP is 30 June vice 31 July)
Ensign	March and September (In zone/above zone promotion board eligible candidates due to CG PSC 31 October. Reporting period remains 30 September.)	March (Annual)
Chief Warrant Officer (W4)	April	April (Biennial)
Chief Warrant Officer (W3)	July	July (Biennial)
Chief Warrant Officer (W2)	June	June (Biennial)

(1) A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports, or 12 months for semiannual reports (see Article 5.A.5. of this Manual). Waivers to this policy will not be granted. The only exceptions include DUINS OERs (see

Article 5.A.5. of this Manual) or IRR or ASL continuity OERs for the entire period a reserve member is in the IRR or ASL (see Article 5.A.6.a. of this Manual).

(2) OERs shall not be delayed for officers above and in zone for promotion as specified by ALCGPSC promulgated by Commander (CG PSC). Reported-on officers with an approved retirement or voluntary resignation letter on file may extend the period of report to coincide with the discharge date. A regular or continuity OER may be completed.

(3) For officers on the ADPL schedule, annual or semiannual OER submission is optional (waivers not required) if:

(a) A regular OER was submitted within 182 days before or after the scheduled submission date for annual reports or within 92 days before or after the scheduled submission date for semiannual reports.

(b) Newly commissioned officers who have been assigned at their first unit less than 120 days may delay the submission of their regular OER provided the next anticipated date of submission meets the requirements under Article 5.A.3.a.(1). of this Manual.

(4) For officers on the IDPL schedule, biennial, or annual OER submission is optional (waivers not required) if:

(a) A regular OER was submitted within 184 days before or after the scheduled submission date for biennial and annual reports.

(b) The reported-on officer under PCS orders has been observed at the new unit for less than 184 days. The observations shall be recorded in the next regular OER.

5.A.3.b. Detachment or Change of Reporting Officer

(1) OERs for officers on a biennial submission schedule are required if more than 12 months (365 days or 366 days if it is a leap year) have elapsed since the ending date of the last OER unless Article 5.A.3.b.(4) of this Manual applies.

(2) OERs for officers on an annual submission schedule are required if more than six months (i.e., 184 days) have elapsed since the ending date of the last regular OER unless Article 5.A.3.b.(4) of this Manual applies.

(3) OERs for officers on a semiannual submission schedule are required if more than three months (i.e., 92 days) have elapsed since the ending date of the last regular OER unless Article 5.A.3.b.(4) of this Manual applies.

(4) OER submission is optional if the current reporting officer has observed the reported-on officer for an insufficient amount of time (e.g., reported-on officer recently completed a PCS to that unit). A sufficient amount of time is considered as 12 months for officers on biennial reports, 182 days for officers on annual reports, and 92 days for officers on semi-annual reports.

(5) If the reported-on officer has an approved separation or discharge on file, is planning on

submitting a continuity OER, and an intervening occasion occurs, (e.g., detachment/change of RO) the period may be extended without a waiver to the final day of active service (as long as the period of report does not exceed 30 months for biennial reports, 18 months for annual reports, or 12 months for semiannual reports).

5.A.3.c. Detachment on PCS Orders or Separation from the Service of the Reported-on Officer

(1) OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or 184 days for officers on an IDPL submission schedule.

(2) For officers separating from the service, an OER is mandatory regardless of the length of period for the report. The period of the report shall end on the final day of active service, including days on terminal leave.

(3) Change of component for ADPL submission schedule to/from IDPL submission schedule requires a Detachment of Officer OER.

5.A.3.d. Promotion of Officers

(1) Captains selected for promotion or frocked to flag grade must submit an OER with their last day serving as an O6 as their end of period date. With the concurrence of their rating chain and the reported-on officer, a continuity OER is authorized in accordance with Article 5.A.6. of this Manual.

(2) Promotion OERs are required for promotion to captain and for CWO to LT. However, if an OER was completed within 182 days prior to the promotion date for regular officers or within 184 days for reserve officers, the reported-on officer need not submit a promotion OER or a waiver request.

(3) Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this submission schedule results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle), or greater than 12 months (semiannual cycle). The reported-on officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion. All articles pertaining to submission schedules apply (e.g., RO detachment, PCS). Annual, semiannual, and biennial submissions cannot be delayed and substituted with promotion OERs.

(4) Officers promoted under the CWO to LT program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CG PSC-OPM-3) approval.

(5) Officers who have been frocked (excluding captains serving as flag officers) shall follow the schedule and exceptions described above and in Article 5.A.3. of this Manual for their

actual pay grade, not for the grade to which they have been frocked.

Special OERs

5.A.3.e.

The Commandant, commanding officers, higher authorities (including convening authorities) within the chain of command, and reporting officers may direct these reports. The circumstances for the special OER must relate to one of the situations described in Article 5.A.3.e.(1) through 5.A.3.e.(5) below.

(1) Subsequent to Substandard Performance or Conduct.

(a) A special OER may be completed to document performance or conduct that is substandard but not necessitating a removal from duties if deferring the report until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection, retention, or reassignment. Depending on the circumstances, this OER may count for continuity.

(b) A special OER shall be submitted to permanently remove an officer from primary duties as a result of conduct or performance which is substandard or as directed by the permanent relief authority's final action on a permanent relief for cause request per by Article 1.F. of reference (q), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)). The OER will be defined as derogatory and shall follow the procedures for derogatory OER submission in accordance with Article 5.A.7.c. of this Manual. This OER will count for continuity.

(c) Reassignment not constituting a removal from primary duties (RPD) as provided in Article 1.F.3. of reference (q), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series), is not derogatory and therefore does not require a special OER.

(2) Subsequent to Disciplinary Action.

(a) Actions resulting in a civil court or criminal offense conviction bring discredit upon the Coast Guard and, except for minor traffic violations, shall be reflected in the performance evaluation of officers. Therefore, a special OER is required after an officer is found guilty of a civil or criminal offense with a detailed description of the conduct documented in the OER as required by Article 1.B.4.b. of reference (r), Discipline and Conduct, COMDTINST M1600.2 (series).

(b) A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a special OER shall be prepared. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved. This OER does not count for continuity.

(c) The reporting period for this special report will be the day that the proceedings were completed. The report shall clearly state:

[1] The nature of the proceeding prompting the report and the result of the proceeding, (e.g., criminal conviction, non-judicial punishment, or final reviewing authority's action directing a special OER due to criminal culpability),

[2] Any punishment imposed as a result of criminal conviction or non-judicial punishment, and

[3] Other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation shall be limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which

is not evaluated shall be marked "not observed". A comparison or rating scale mark and comments on the officer's potential are required.

(d) If the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period, a special report is not required if the process is completed, i.e., not subject to further review, by the time that the regular report is due to be submitted for the current period. The basis for the court-martial, non-judicial punishment, or investigation shall be reported in the regular report.

(3) For Consideration by Selection Panels or Boards.

(a) Special OERs may be submitted for officers being considered by Coast Guard sponsored or officially advertised selection panels (e.g., flight school, command screening, NASA astronaut) or selection boards for promotion, extension, or continuation. The period of report must be at least 92 days for a semiannual schedule and 182 days for an annual submission or 184 days for a biennial submission schedule and the OER must arrive at Commander (CG PSC) not later than 45 days before the board/panel convening date.

(b) Reported-on officers who are on a biennial schedule and are in or above zone for promotion on the IDPL during an odd numbered calendar year shall complete a special OER for that year to document all performance since the last regular OER for board consideration. These OERs shall not be delayed past the normal submission month (e.g., March for CDRs, April for LCDRs). Extensions will not be granted. This OER counts for continuity.

(4) To Document Significant Historical Performance. Special OERs may be submitted to document significant historical performance or behavior of substance and consequence which were unknown when a previous OER was prepared and submitted. This report should not normally reflect performance reportable under Article 5.A.3.e.(2) of this Manual. The OER should address only the performance dimensions relevant to the special OER since all other performance dimensions will have been addressed in the previously submitted OER. The special OER should be initiated by the original rating chain unless they are unavailable or disqualified. Article 5.A.2.e. of this Manual applies. The reviewer must be a flag officer. This OER does not count for continuity.

(5) Miscellaneous. When specifically directed by another article in this or another Manual. This OER may count for continuity, depending upon the circumstances which prompt its

submission.

5.A.4. Concurrent OERs

5.A.4.a. Definition

A concurrent OER is an OER submitted outside of the regular submission schedule in addition to a regular or special OER and thus does not count for continuity. The unit to which the reported-on officer is permanently attached is always responsible for ensuring that OER continuity is maintained with either regular or special OERs. The permanent unit's OER is never considered a concurrent report.

5.A.4.b. Reasons for Submission

Concurrent reports may be submitted only when the officer is:

- (1) Filling separate or distinct billets or command functions under different commanding officers.
- (2) Filling a billet for which technical control and administrative control are separated, such as senior contracting officers.
- (3) Commanding a unit for which operational control and administrative control are separated, (e.g., units assigned to International Ice Patrol, Deep Freeze Operations).
- (4) Commanding a unit with divided operational control.
- (5) On active duty and performing temporary duty (TDY) away from a permanent station while being observed by a senior officer other than the regular reporting officer, (e.g., senior aviator deployed aboard a Coast Guard icebreaker). In this case, the concurrent report normally will be written upon the detachment of the TDY officer and cover only the period of temporary duty. This is an optional OER and will be submitted at the discretion of the TDY command. A TDY concurrent OER must be for a period of at least 60 days.
- (6) Performing an internship while in a duty under instruction (DUINS) status. In this case, the concurrent report normally will be written upon completion of the internship and cover only the period of the internship. A concurrent OER for an internship must be for a period of at least 14 days.
- (7) A reserve officer performing active duty for operational support (ADOS) away from a permanent station. In this case, the concurrent report normally will be written upon completion of the short-term ADOS orders and cover only the period of each specific set of short-term ADOS orders. This is a mandatory OER for ADOS orders covering 30 to 180 days.

5.A.5. Duty Under Instruction (DUINS) OER

5.A.5.a. Submission Schedule

The Officer Evaluation Report Duty Under Instruction, Form CG-5310F, submission schedule for officers assigned to DUINS shall be as follows:

- (1) When a reported-on officer is assigned PCS duty under instruction to a civilian institution, Naval Postgraduate School (NPS) Monterey, or an Armed Forces School (Service or Senior Service), OER submission will be submitted once a year at minimum. The period of report shall not exceed 18 months; this includes ensign and lieutenant (junior grade) submissions. This is an exception to Article 5.A.3.a.(1) of this Manual.
- (2) When a reported-on officer is assigned PCS duty under instruction to industry training, OERs shall be submitted upon detachment of the officer or completion of the program.
- (3) When a reported-on officer is assigned PCS duty under instruction to flight training, OERs shall be submitted at the end of each training phase. The period of report shall not exceed 18 months; this includes ensign and lieutenant (junior grade) submissions.
- (4) When a reported-on officer is assigned PCS duty under instruction and performing duty as an intern or trainee at a Coast Guard unit (e.g., Law student, legal staff intern), a concurrent OER may be submitted for a period of greater than 14 days. This concurrent OER provides an opportunity for DUINS students to document performance. A concurrent OER does not count for continuity. This is an exception to the guidelines provided in Article 5.A.4.f. of this Manual.
- (5) Officers in and above zone for promotion shall follow the regular DUINS submission schedule. A DUINS OER period of report shall not exceed 18 months.
- (6) Senior Service Group (SSG) students shall follow regular submission schedules outlined in Article 5.A.3. of this Manual.

5.A.5.b. Designation of Rating Chain Members

- (1) For reported-on officers assigned PCS duty under instruction to a civilian institution, industry training, or to NPS Monterey, rating officials will be individuals within the appropriate program managing office. Program managers will designate the rating chain for reported-on officers, including captains, assigned to DUINS programs. This is an exception to the rating chain designation identified in Article 5.A.2.d. of this Manual.
- (2) For captains attending any DUINS program, the reporting officer and reviewer shall be a Coast Guard flag officer or Coast Guard Senior Executive Service member from the appropriate headquarters program managing office.
- (3) For captains attending Senior Strategic Groups (SSG), the reporting officer and reviewer shall be a Coast Guard flag officer, Coast Guard Senior Executive Service member, or service equivalent (e.g., Chief of Naval Operations for the CNOS SSG)

unless article 5.A.2.d.(3)(a)[6] of this Manual applies. Unlike other DUINS programs, SSG studies require a regular OER to include marks and comments.

5.A.6. Continuity OER

Such reports may be submitted in cases where an OER is required by these instructions but full documentation is impractical, impossible to obtain, or does not meet OES goals.

5.A.6.a. Reserve Specific

Commander (CG PSC-RPM-1) shall complete a continuity OER for officers assigned to the Individual Ready Reserve (IRR), or the Standby Reserve-Active Status List (ASL). The OER shall encompass the entire period the officer was in the IRR or ASL. Exception: For officers being considered for promotion during a particular year (even if the reported-on officer is still in the IRR or ASL) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date.

Note: There is no requirement for officers on the Standby Reserve–Inactive Status List (ISL) or the ASL to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.

5.A.6.b. All Other

A continuity OER may be submitted under the following conditions:

(1) An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

(2) An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last regular OER submission and has met the expected high standard of performance during the period. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

(3) An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.

(4) Reserve CWO4s who have at least one fully documented OER, validated and in the EI-PDR at the CWO4 grade, and continue to meet the expected high standard of performance may submit continuity OERs thereafter. Exception: CWO4s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.

5.A.6.c. Judicial and Administrative Adjudications

An OER for continuity purposes may be required by Commander (CG PSC-OPM-3) or (CG

PSC-RPM-1) to implement judicial and administrative adjudications.

5.A.6.d. For Separating Members

In determining whether a “continuity purposes only” OER is appropriate for officers being separated, consideration should be given to the reported-on-officer’s opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the reported-on officer’s ability to later obtain a reserve commission and compete at future reserve officer selection boards. OERs are an essential tool in personnel management decisions including assignments, therefore all officers are strongly encouraged to consider the impact of submitting continuity OERs. Thus, for officers departing the service for reasons other than retirement, the supervisor must ensure that the reported-on officer acknowledges reviewing this paragraph. Where any member of the rating chain, including the reported-on officer, has information deemed significant enough to report for the period the OER covers, a regular OER shall be submitted in accordance with Article 5.A.3.a. of this Manual.