

Dedication

This Final Report of the Enlisted Advancement Study Team is dedicated to all the enlisted personnel in the United States Coast Guard.

This Study was undertaken with great effort in the sincerest hope that the recommendations would reflect their needs as well as the needs of the Coast Guard to be staffed with a workforce of petty officers and chief petty officers with the knowledge, skills, and abilities needed to get the job done.

It is also dedicated to our coworkers, supervisors, and, last but not least, our families. In many ways they have “carried the load” for us while we were away from work and home conducting this Study.

We greatly appreciate the assistance we received from the other Armed Services, civilian agencies, and other Coasties with whom we consulted.

We are proud of our efforts and look forward to the implementation of our recommendations.

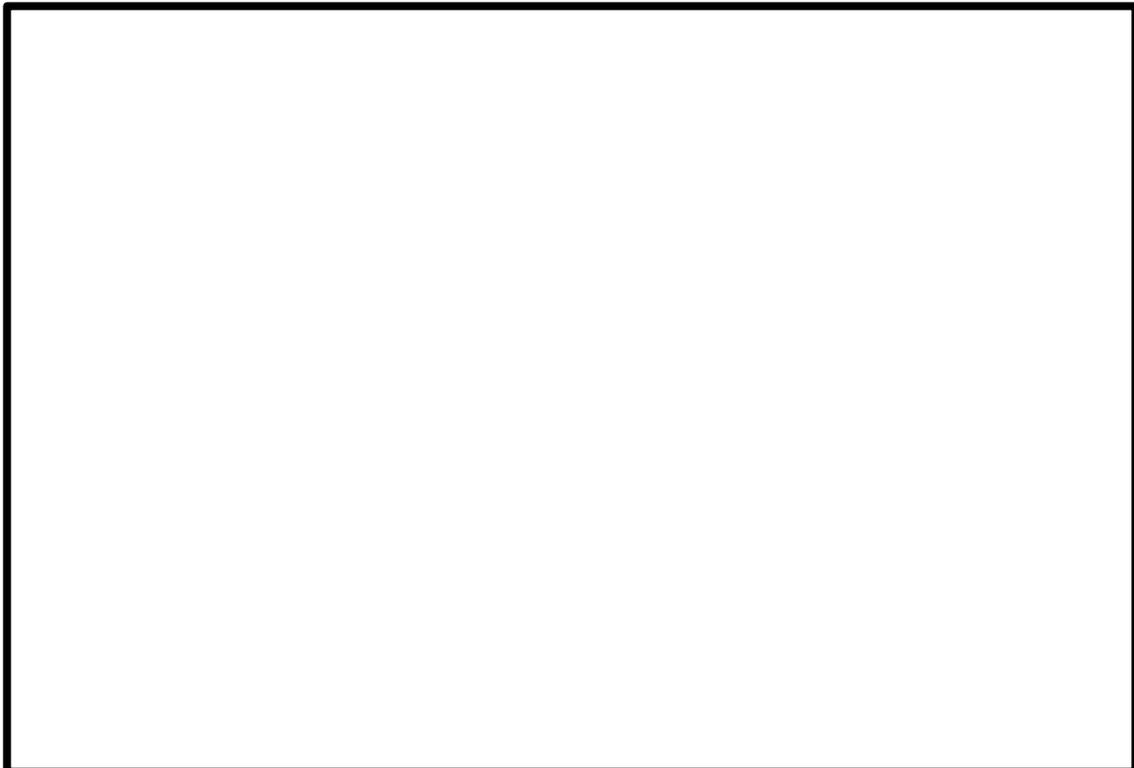


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Introduction

The Director of Personnel Management (G-WP) chartered the Enlisted Advancement Study Team (EAST) in March 1998 to *conduct research and analysis to develop recommendations to align the enlisted advancement system more closely with Service and enlisted workforce needs*. Human Performance Technology principles guided the study process. In addition, at every phase of the study, the Team made a concerted effort to ensure these final recommendations would comply with the Coast Guard's core values of "Honor, Respect, and Devotion to Duty" and support successful mission accomplishment.

The Coast Guard's current advancement system is extremely complex and viewed as a "mystery" by the enlisted workforce. The Team made every effort to keep these recommendations "simple" and understandable while at the same time not jeopardize the underlying framework supporting a comprehensive, useful advancement decision tool. It was important to the Team that every Coast Guard member understand what factors will impact their advancement and which one(s) they should focus on to improve their chances for advancement.

This Study was done in concert with several other ongoing and completed Human Resource-related studies, particularly:

- The Enlisted Performance Evaluation Form (EPEF) Quality Action Team (QAT),
- Non-rate Workforce Structure Study (NWSS),
- Chief Petty Officer Needs Assessment (CPONA),
- Enlisted Career Development Plan (EDCP),
- Senior Enlisted Needs Assessment (SENA), and
- The Joint Rating Review (JRR).

In addition, the Study recommends portions of the advancement system process be further refined by several other ongoing studies: i.e., the Junior Enlisted Management Study (JEMS), SENA, and the Skill Utilization Management Study (SUMS).

The composition of the Team provided extraordinary diversity, resulting in extremely productive research and debate. After nearly 7,000 hours of meetings and countless additional hours of research, the Team developed sound recommendations, presented in this Final Report.

Throughout the study, the field received Situation Reports (SITREPs) via ALDIST message traffic. (See Appendix A, SITREPS.) These SITREPs and other information about the Study, e.g., charter, team photo and biographies, and frequently asked questions, also were available on the Master Chief Petty Officer of the Coast Guard's web page.

Executive Summary

The Study recommends two major philosophical changes to the current system for advancement from E-4 to E-5 through E-9:

- (1) consider both past performance and future potential for success at the next pay grade, and
- (2) weigh advancement criteria differently for different pay grades, especially at significant career change points, e.g., advancement from E-6 to E-7 and from E-8 to E-9.

The Team recommends the new advancement system be named the

Coast Guard Service Enlisted Advancement System (CGSEAS).

This table depicts the categories and percentage weights of the advancement criteria:

Coast Guard Service Enlisted Advancement System (CGSEAS)	Petty Officer		Chief Petty Officer		
	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9
Past Performance	Percent				
Representing the CG Factor (EPEF)	7%	7%	7%	7%	7%
Professional, Personal, Leadership Factors (EPEF)	34%	34%	31%	31%	31%
Awards	6%	6%	5%	5%	5%
Time in Rate/Grade (TIR)	10%	10%	12%	12%	1%
Time in Service (TIS)	8%	3%	3%	2%	1%
Special Rate-Specific Requirements	2%	3%	3%	5%	5%
Out-of-Rate Assignments	0%	4%	5%	5%	5%
Career Path	0%	0%	0%	0%	12% Board
Future Potential	Percent				
General Knowledge	4%	4%	6%	6%	7%
Rate-Specific Knowledge	8%	8%	5%	3%	1%
Self-Investment	1%	1%	3%	4%	5%
Future Potential Factor (EPEF)	20%	20%	20%	20%	20%
Total	100%	100%	100%	100%	100%

In summary, the recommendations are as follows:

1. Revise the Non-rate, Petty Officer, and Chief Petty Officer EPEFs as follows:
 - a. Include factors to measure the member's future potential to perform at the next higher pay grade. (Revisions coordinated with the EPEF QAT.)
 - b. Make editorial and aesthetic revisions to the RECOMMENDATION FOR ADVANCEMENT and CONDUCT blocks.
2. Weigh the most recent performance evaluations heavier than earlier ones in the CGSEAS.
3. Revise the scoring of time in service (TIS) to avoid awarding "dinosaur points". The Team recognized that experience is valuable at each pay grade but advancement points should not be awarded after a certain time when the additional time provides no or only marginal benefits ("dinosaur" points).
4. Revise the minimum required time in grade in present rating (TIR) for eligibility for advancement from E-7 to E-8 from 36 months to 24 months.
5. Revise the scoring of TIR to reduce awarding points for basic eligibility and avoid awarding "dinosaur" points.
6. Determine new rate-specific requirements (similar to sea duty requirements and points) and CGSEAS points for these rate-specific requirements. (To be determined by the Rating Managers, Assignment Officers, and Skills Utilization Management Study.)
7. Include incentive points for out-of-rate assignments. The Team also recommends that before members assume the duties of the out-of-rate assignment, they complete the "Performance Based Qualifications" for the next pay grade. This will ensure the members have the rate-related skills and abilities required of the next higher pay grade to which they might be advanced while serving in an out-of-rate assignment. (To be determined by the Senior Enlisted Needs Assessment, Senior Enlisted Advisory Team, and the Master Chief Petty Officer of the Coast Guard.)
8. Use board selection for advancement from E-8 to E-9.
9. Revise the awarding of award points in the CGSEAS:
 - a. Increase maximum award points from 10 to 15.
 - b. Except for 10 heroism awards, zero out award points after advancement to E-7.
 - c. Add points for the Munro Award (3.5) and Military Outstanding Volunteer Service Medal (1). (The Team also recommends the eligibility criteria for the Swivel Shot Award be reviewed as the Military Outstanding Volunteer Service Medal covers similar criteria regarding service to the Coast Guard family.)

- d. Eliminate advancement points for the Good Conduct Medal since conduct is credited in other factors of the CGSEAS (e.g., basic eligibility, EPEFs). The Team also recommends the eligibility for the Good Conduct Medal be reviewed and updated as necessary.
10. Combine the Service-wide Exam (SWE) and the End of Course Tests (EOCTs) melding the best elements of each into one streamlined examination system requiring less burden on the member, unit, training development and exam distribution systems.
 - a. Administer these exams during a 3- to 6-month window determined on assignment system needs and the time needed to update the course material and exam.
 - b. Allow members to take the exam once per advancement cycle. However, if member fails the exam the first time he or she is authorized to take it again but with a penalty, i.e., for the single authorized retest, the highest score achievable is the minimum passing score.
11. Include incentive points for self-investment, e.g., professional license, advanced degree. Given significant constraints on the current infrastructure to equitably support self-investment initiatives, an additional Future Potential factor on the CPO EPEF should be included as an interim (potentially long term) tool to award self-investment in the CGSEAS. (To be determined by the Senior Enlisted Needs Assessment, Senior Enlisted Advisory Team, and the Master Chief Petty Officer of the Coast Guard.)
12. Enhance leadership training requirements:
 - a. Include a leadership training module in each MKE.
 - b. Require attendance at formal leadership training if member did not attend Class "A" school (e.g., striker). This training should have the same terminal performance objectives as Class "A" school.
 - c. Recommend attendance at the CPO Academy within one year of advancing to E-7.
 - d. Task SENA to evaluate leadership training requirement for advancement to E-9.
13. Apply different weights for the elements of the CGSEAS depending on the pay grade.

CGSEAS is easily articulated and calculated on a computer-based spread sheet so members can determine their score removing the "mystery" of an individual's score computation.

The Office of Military Personnel (G-WPM), Office of Resources Information Management (G-WRI), Human Resources and Information Center (HRSIC), and other appropriate Headquarters' offices jointly should undertake implementation of accomplish these recommendations. Team members have agreed to consult with

the implementation team as well as other ongoing study groups to develop the policies on rate-specific requirements, out-of-rate assignments, and self-investment. It is very important to note that these recommendations do not need to be implemented immediately or simultaneously and some may take years to implement. The Team realized that computer systems and other infrastructure requirements would need to be addressed before fully implementing the CGSEAS. A preliminary implementation plan is provided on the table on pages 42-44.

Finally, the Team recommends posting a copy of the report on the Master Chief Petty Officer's web page and providing it to the other Armed Services' contacts who assisted in the study.

Team Membership

EAST consisted of 12 members, enlisted (E-4 through E-9, Active Duty and Reserve), officer (O-2 and O-4), and one civilian (GS-13), who brought impressive, diverse, relevant experience to the Study process. The Team members represented the field and Headquarters; East and West coasts and the Midwest; afloat, aviation, shore, and marine safety communities. (See Appendix B, Biographies.)

The Team was supported 100% of the time by at least one Human Performance Consultant from the Performance Consulting Division of the Office of Training and Performance Consulting (G-WTT-1) at Coast Guard Headquarters and one trained Total Quality Management facilitator who also provided the Team invaluable administrative and logistical support.

Team Member	Unit
Mr. John A. Burt	Human Resources & Information Center
MCPO Paul S. Byrne	MLC Pacific Command Master Chief
YN2 Theresa A. D'Andrea	Group Moriches
LCDR Christopher J. Hall	Lead Human Performance Consultant (G-WTT-1)
LT David E. Kalis	ISC Portsmouth: Facilitator and Logistics
LCDR Michelle L. Kane	Team Leader (G-WPM-1)
MST1 Paul F. Lonardo	MSD Sturgeon Bay
AMT1 Kevin M. Mawhinney	Air Station San Francisco (RELAD February 1999)
LTJG Laura M. (Meynink) Moose	G-WTR and CGPC-rpm
PSC Darrell C. Odom	PSU 305
YNCM Dwane Simpson	CGPC-epm and TRACEN Petaluma (YN School)
BM2 Norma L. Theriault	Station Mayport
LT Catherine W. Tobias	Human Performance Consultant (G-WTT-1)
DCCS Gordon H. Yowell	TRACEN Petaluma (MRN) and LDC
YNC Bevelyn R. Whitfield	G-WTL (Retired December 1998)

Ad hoc Team members provided their expertise as needed throughout the Study. Ad hoc members included representatives of:

- Rating Force Managers,
- Workforce Forecasting and Analysis Staff (G-WP-1),
- Coast Guard Institute,
- Office of Leadership and Development (G-WTL),
- Executive Assistant to the Master Chief Petty Officer of the Coast Guard, and
- Workforce Cultural Audit expert.

The EAST Guidance Team consisted of Coast Guard Headquarters representatives from offices in the primary approval chain of command for the Study's final recommendations and other significant stakeholders:

- Enlisted Personnel Management Division, CG Personnel Command (CGPC-epm),
- Office of Military Personnel (G-WPM),
- Office of Leadership and Career Development (G-WTL),
- Office of Training and Performance Consulting (G-WTT) (Chair),
- Office of Human Resources Information (G-WRI)
- Office of Reserve Affairs (G-WTR)
- Office of Force Management (G-SRF) (Rating Force Manager Representative),
- Office of Resource Planning (G-ORW) (Rating Force Manager Representative),
- Office of Planning and Resources (G-MRP) (Rating Force Manager Representative), and
- Master Chief Petty Officer of the Coast Guard (G-CMCPO).

After each significant juncture in the study, normally after each meeting, the Team Leader, or in one case several Team members, briefed the Guidance Team.

Background

The Director of Personnel Management (G-WP) chartered the Enlisted Advancement Study Team (EAST) on 16 March 1998 to

conduct research and analysis to develop recommendations to align the enlisted advancement system more closely with Service and enlisted workforce needs.

The Study's intent was to comprehensively review and, as appropriate, make recommendations to improve the U.S. Coast Guard's existing enlisted advancement process, (i.e., the "Service-wide Exam Final Multiple").

Because the Study primarily focused on the composition of the "formula" used for enlisted advancement decisions, it appropriately did not focus on the advancement of non-rated personnel to third class petty officer. The Junior Enlisted Management Study (JEMS) is chartered with making recommendations related to the non-rate workforce management.

The Coast Guard's Service-wide Exam Final Multiple system has been the centerpiece of its enlisted advancement system since 1958. Other than adding points for sea duty, it has remained essentially unchanged since its adoption from the U.S. Navy. The Navy, however, has since significantly changed its enlisted advancement process with the most notable difference being the use of board selection for advancement at three levels: E-6 to E-7, E-7 to E-8, and E-8 to E-9. The Navy no longer uses the "off-the-shelf" product the Coast Guard adopted and is still using today.

According to the Allen Study (CAPT Nicholas H. Allen), a comprehensive review of the advancement system completed in December 1986, the five factors used at the time were chosen based on common sense; that is, "they looked about right". The Allen Study recommended:

1. Do not change the number and type of factors included in the Coast Guard's Service-wide Final Multiple system,
2. Align the Final Multiple factors' effective weights more closely with what was probably intended when the system was initiated in 1958, and
3. Provide specific guidance so the Institute would advise G-P when any of the factors' effective weights exceeded specific limits Servicewide.

In 1987, a work group of representatives from the Institute, Commandant (G-PRF), and Commandant (G-PE), evaluated the results of the Allen Study. This group recommended standardizing the effective weights at 50% for the Service-wide Exam, 20% for evaluations, 12% for time in grade and time in service, and 6% for

awards. These recommendations were not implemented because of the associated complicated, costly computer reprogramming effort. Another work group, similar in composition to the 1987 group, met in 1989 and made similar recommendations that also were not implemented.

In 1994, Commander, Military Personnel Command reviewed the Service-wide Exam Final Multiple and, among other proposals, recommended keeping the current factors and including additional points for sea duty: "Changing the final multiple factors, especially removal of any one (i.e., award points), is a very emotional issue for which sound pro and con arguments can be made, depending on one's point of view." Commandant (G-P) agreed with these recommendations. He said:

I understand that there are sufficient pros and cons to keep this debate alive; however, this is not the appropriate time to eliminate a traditional factor. We have implemented significant changes to the enlisted workforce management system in the past two years and our enlisted members have expressed strong concerns for the stability of their future. I want to minimize the consternation which changes to the SWE might bring. I recognize that some of the factors are not performance measures and may need to be revisited at a future date.

Petty Officer James Barnes presented his findings related to enlisted advancements in his 1994 Masters in Management degree thesis, *Study of the Coast Guard Enlisted Advancement System as It Affects the Yeoman Rating*. Although targeted to the YN rating, its findings are relevant to all ratings. In particular, the thesis concluded, "the current advancement system fails to do what it was designed to do, that is, provide all personnel equal opportunity to advance and to promote only the best qualified personnel."

The 1995-1997 Workforce Cultural Audit (WCA) is the impetus that spurred this 1998-1999 Enlisted Advancement Study Team (EAST) effort. In general, the WCA revealed enlisted members believe the current advancement system does not serve either the Coast Guard's or the individual's best interests. WCA results showed enlisted members believe the existing advancement formula penalizes those serving in valuable, but out-of-rate, positions and unfairly advances good test-takers. WCA results also indicated enlisted members believe advancement criteria change arbitrarily and "best qualified" takes on a different meaning for each advancement cycle. As a result, in a competitive environment it appears juniors who do not advance may in fact be more highly skilled or better qualified than their seniors who previously advanced in a relatively less competitive environment.

Legislatively, the Coast Guard and other Department of Defense Armed Services have a great deal of latitude in their enlisted advancement processes. Unlike the officer promotion system, the enlisted advancement system is left to the Service chiefs' discretion under direction of the Secretary concerned. For the Coast Guard, Title 14 USC § 352 dictates: *Enlisted members shall be advanced in rating by the Commandant under regulations prescribed by the Secretary.*

Current System

Members in pay grades E-5 through E-9 currently advance by taking a Service-wide Examination (SWE) either once (E-7 through E-9) or twice (E-5 and E-6) a year. Advancement then is based on Service need to fill vacant billets and the member's "final multiple," composed of several factors; see table below. A cutoff is established for each rating based on vacancies anticipated when the eligibility list is compiled (reference: Personnel Manual, COMDTINST 1000.6 (series), Chapter 5.C.).

Factor	Maximum Credit	How Computed	Percentage of Total
Examination Score	80	SWE Score	45.7%
Performance	50	EPEF	28.6%
Time in Service	20	1 point credit per year	11.4%
Time in Pay Grade in present rating	10	1 point credit for each 6 months	5.7%
Medals and Awards	10	PERSMAN 5.C.3.b.3.	5.7%
Sea Duty	05	Credit given for being permanently assigned aboard a sea duty creditable unit	2.9%
Total	175		100%

The above factors are then manipulated by a sophisticated mathematical equation as follows:

$$\begin{aligned}
 & \text{(Award Points per PERSMAN up to 10)} \\
 + & \text{(TIR Points @ 1 point/6 months up to 10)} \\
 + & \text{(TIS points @ 1 point/year up to 20)} \\
 + & \text{(Sea Duty Points @ 5 points)} \\
 + & \text{(SWE points @ } (10((X_i - X)/SD) + 50)) \\
 + & \text{(EPEF points @ } ((21D/4K) + 13.25)) \\
 & \text{-----} \\
 = & \text{ Final Multiple}
 \end{aligned}$$

Where,
 X_i = Raw SWE score
 X = Average SWE Score
 SD = SWE Standard Deviation
 D = Raw EPEF average
 K = Number of subfactors on the EPEF

Before members are eligible to take the Service-wide exam, they must fulfill eligibility requirements as follows:

- Receive their Commanding Officer's/Officer-in-Charge's recommendation for advancement,
- Complete required performance qualifications and military requirements,
- Complete correspondence courses,
- Complete Service course if required for particular pay grade or rating,
- Meet citizenship or security clearance requirements for advancement in certain pay grades or ratings,
- Fulfill additional eligibility requirements for personnel competing in the E-7, E-8, and E-9 examination,
- Maintain minimum factor average on performance evaluations,
- Graduate from a military recruit training center for advancement to E-2,
- Have required time in service (TIS) and time in pay grade in present rating (TIR), and
- Meet special requirements for certain ratings: e.g., sea duty requirements for advancement to E-6 and E-7 for specified ratings; certified as qualified to command afloat and ashore by the Officer in Charge Review Board for advancement to BMCS and BMCM, and Performance-Based Qualifications.

See Appendix C, Armed Forces Enlisted Advancement Matrix.

Study Process

The Team dedicated nearly 7,000 hours of meeting deliberations and countless hours of additional research beginning with its first meeting in April 1998 through the production of this final report in April 1999. The Team normally met each month for 3 to 4 days at a location considered “offsite”. The majority of the meetings took place at the Coast Guard Recruiting Center in Ballston, VA; one meeting each occurred at Department of Transportation Headquarters, Xerox Document University in Leesburg, VA, and a hotel with meeting facilities in Courthouse, VA.

The Team used Human Performance Technology (HPT) methodology, a disciplined, systematic approach that requires well defined, substantiated linkage from organizational goals to on-the-job performance. The Team received extensive guidance from the Performance Consulting Division (G-WTT-1). These consultants are HPT practitioners who helped develop the Study’s strategy and assisted the Team Leader in guiding the Team’s research-driven processes. Their contributions to the effort were absolutely invaluable.

No vendor or contractor provided assistance. However, the Team contacted management specialists, located by researching published articles on promotions and measuring workers’ attributes; other Armed Services; and industry leaders, (e.g., Fortune 500 companies, Malcolm Baldrige Award winners, and city and state police departments). The Team also reviewed the Armed Services’ written documentation and previous research on subjects related to enlisted advancements, including the Coast Guard’s. See Appendix D, References.

Based on the results of prior studies and public law, the Study does not recommend changing the basic enlisted grade structure (i.e., non-rate; three petty officer grades; and chief, senior, and master chief). In late 1976, the Coast Guard commissioned Ohio State University (OSU) to study its’ evaluation system. OSU’s study determined three different levels of evaluation were the best for the organization. That is, the Coast Guard should use 3 evaluation instruments at 3 different levels of workforce seniority. A reasonable, logical follow-on to that recommendation is that the non-rate, petty officer, and chief petty officer grade structures are best for our Service. The Team believed that, although essentially outside the scope of its charter, it had to establish the existing pay grade structure as an underlying assumption before it could continue.

In 1958, Congress enacted Public Law 85-422 to establish two additional senior enlisted Armed Forces pay grades, E-8 and E-9. A legal interpretation of the Public Law established specific roles and functions for the Senior Chief and Master Chief Petty Officer. The Team relied on this interpretation of the Public Law in its deliberations and recommendations about advancement to E-8 and E-9.

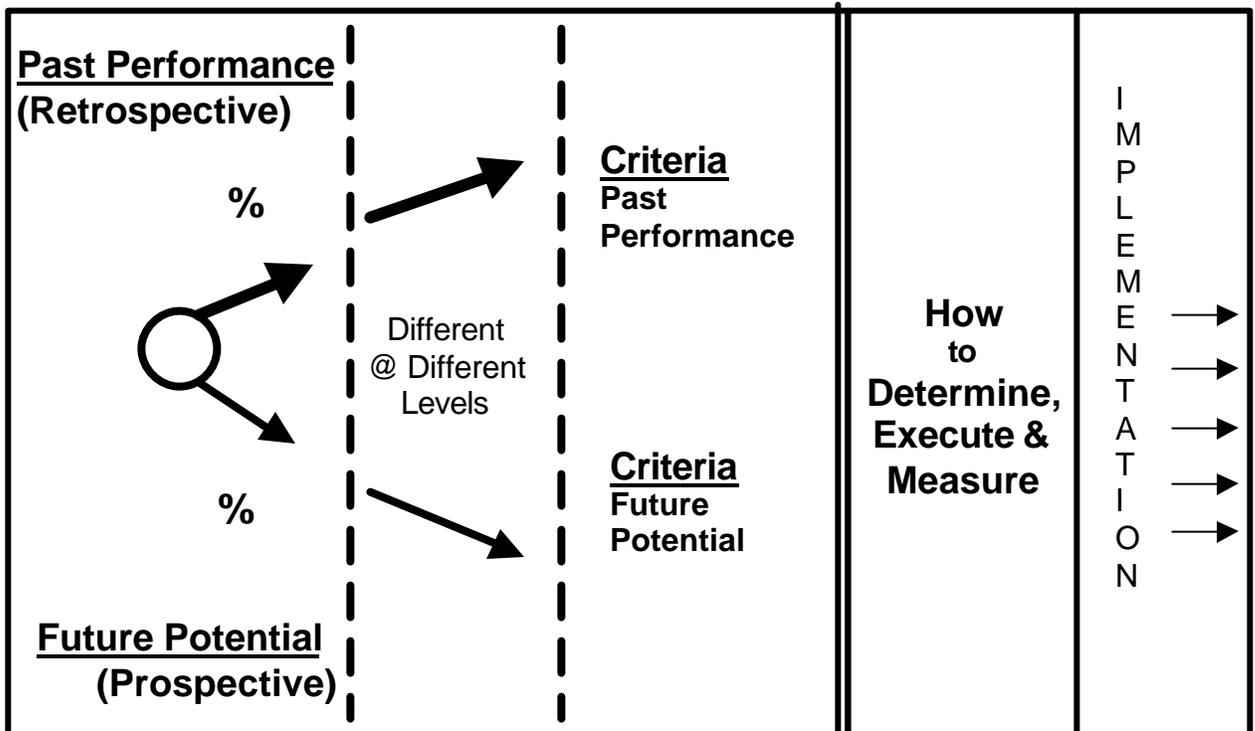
In addition, in 1993, Commandant (G-P) chartered a leadership study that identified the promotion from E-6 to E-7 as the most critical leadership transition for enlisted members.

Not surprisingly, the Team’s research, comprehensive as it was, did not reveal the optimal or “best” method for making decisions. Every Armed Service and other organization the Team contacted or read about in its research used a different method to advance their employees. The literature reviews provided considerable data on philosophies for promotion systems, but again, there was no “cookbook” answer providing the Team the “best” method on which to base advancement decisions.

However, the results of the extensive preliminary research revealed three overarching advancement system concepts needing further examination. They are:

1. Use indicators of past performance and future potential in advancement decisions.
2. Use different methods of advancement at different levels in the organization.
3. Use a variety of criteria for making advancement decisions.

This table represents these concepts and how they fit into the Study’s process:



Advancement Decisions Based on Past Performance and Future Potential

Particularly noteworthy is the Team's discovery in its research that consideration of *past performance and potential for future performance* is critical to promotion decisions.

An article published in the human resources journal *Business Horizons*, published by the University of Indiana, indicated organizations cannot afford to use promotions as rewards for jobs already done well. That is, organizations should promote *into* success rather than *from* it; i.e., avoid proving the *Peter Principle* (Dr. Laurence J. Peter, *The Peter Principle*, 1969): "Every employee tends to rise to his level of incompetence."

The Team contacted Dr. Peter Meyer, who wrote the *Business Horizons* article, about the need to promote based on future potential. Dr. Meyer is the founder of The Meyer Group, which conducts research in executive and management development. He said the Team would have difficulty finding documented research on *what percentage of the promotion decision should be based on past performance and what percentage on potential to perform at the next level*.

A 1997 study, *Differentiation in Military Human Resource Management*, done by the RAND National Defense Research Institute, Santa Monica, CA, found using promotion as a reward for good past performance has positive implications. In summary, it:

- *Improves productivity* by linking effort and performance to reward,
- *Strengthens superiors' voice* in determining promotion decisions; the RAND study believes this enhances the fit of hierarchical military organizational structures and accountability, and
- *Improves the perception of fairness* when proportionality of effort and performance to rewards (advancement) increases.

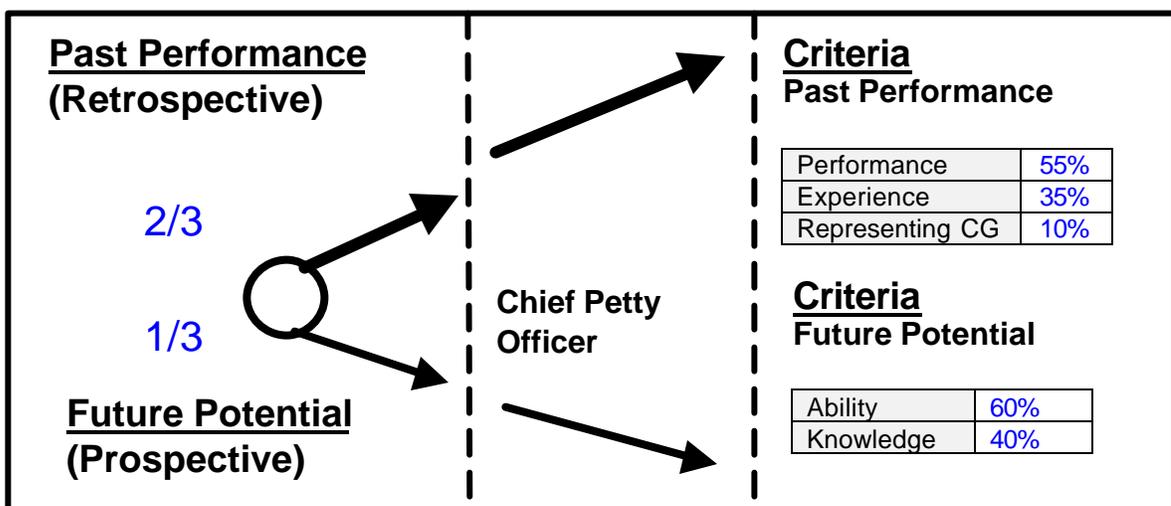
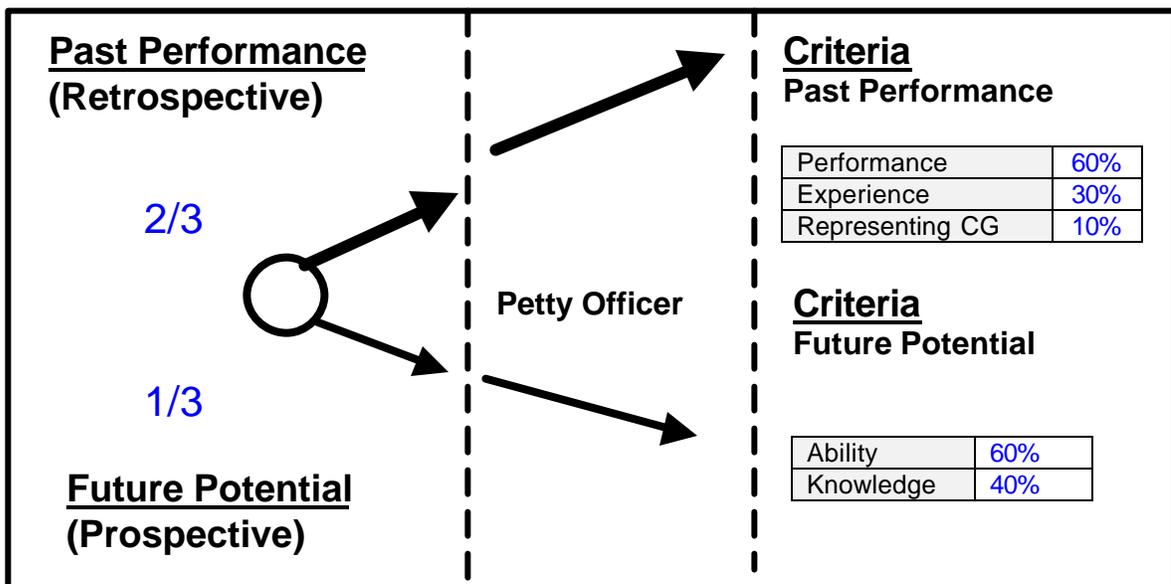
The Team pursued the concept of including criteria related to past performance and future potential in enlisted advancement decisions. The senior manager Interview results provided additional support for the Team's recommendation to include indicators of future potential in the Coast Guard enlisted advancement decision-making process. See Appendix E, Senior Manager Interviews.

Coast Guard Service Enlisted Advancement System (CGSEAS)

Recommended Advancement System Criteria

Because the research did not reveal optimum advancement formula attributes, the Team sought Coast Guard senior management's guidance and recommendations on incorporating the three major concepts (past performance and future potential; different methods at different levels; and variety of criteria). The Team interviewed each Gold Badge Command Master Chief and asked each Flag Officer and Senior Executive Service civilian to respond in writing to the same interview questions (achieved ~50% written response rate). The Rating Force Managers also participated by providing written responses to the questions.

The interview responses provided the Team with the data depicted in these two tables.

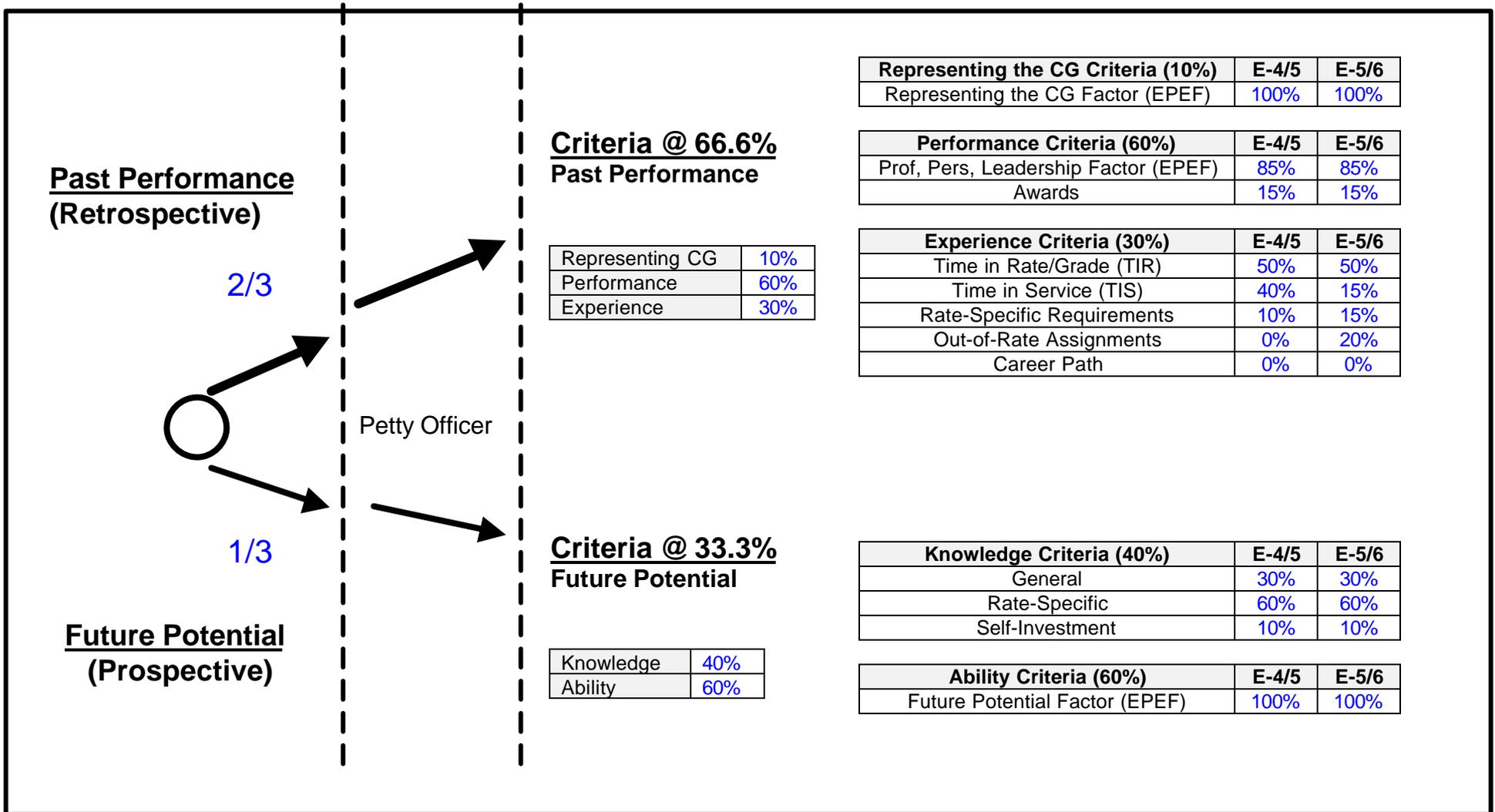


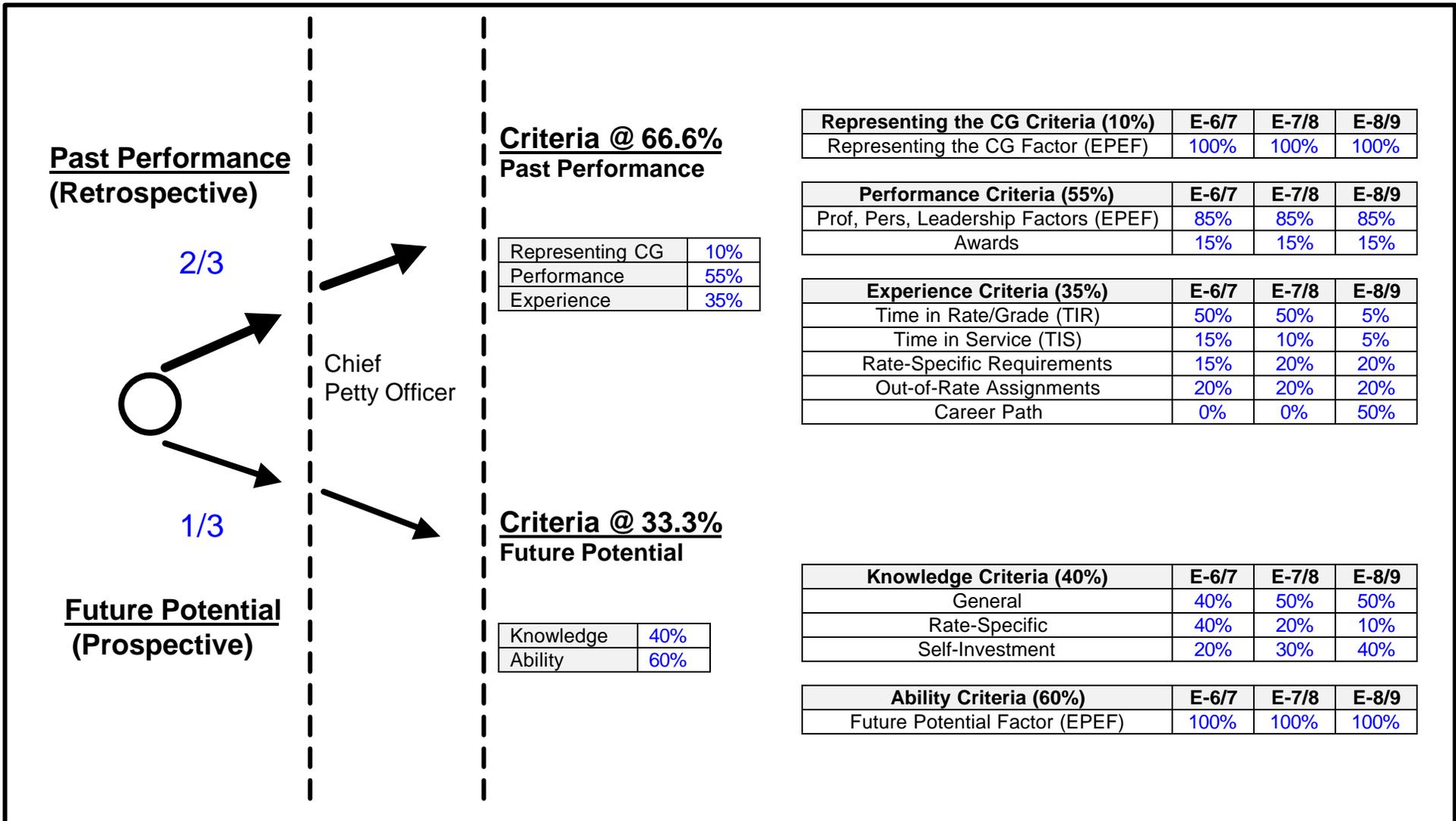
The Senior Manager Interviews also supported specific criteria the Coast Guard should consider in advancement decisions. The Team considered these recommendations in conjunction with the promotion criteria uncovered during its preliminary research.

The results of the senior manager interviews were broken down to the next level of criteria weighted for each rank as shown in the following table and diagrams. See Appendix F, CGSEAS Criteria Graphs.

Coast Guard Service Enlisted Advancement System (CGSEAS)	Petty Officer		Chief Petty Officer		
	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9
Past Performance	Percentage				
Representing the CG Factor (EPEF)	7%	7%	7%	7%	7%
Professional, Personal, Leadership Factors (EPEF)	34%	34%	31%	31%	31%
Awards	6%	6%	5%	5%	5%
Time in Rate/Grade (TIR/G)	10%	10%	12%	12%	1%
Time in Service (TIS)	8%	3%	3%	2%	1%
Special Rate-Specific Requirements	2%	3%	3%	5%	5%
Out-of-Rate Assignments	0%	4%	5%	5%	5%
Career Path	0%	0%	0%	0%	12% Board
Future Potential	Percentage				
General Knowledge	4%	4%	6%	6%	7%
Rate-Specific Knowledge	8%	8%	5%	3%	1%
Self-Investment	1%	1%	3%	4%	5%
Future Potential Factor (EPEF)	20%	20%	20%	20%	20%
Total	100%	100%	100%	100%	100%

The diagrams on the next pages visually represent the origin of the percentages shown above. See Appendix G, Criteria Trend Graphs.





Enlisted Performance Evaluation Forms

Because the EPEF Quality Action Team (QAT) was in progress at the same time as the EAST, this was the ideal opportunity to ensure the changes made to the Enlisted Performance Evaluation Forms (EPEFs) would include the elements needed by the enlisted advancement system. There was also a time deadline at play to ensure recommended EPEF changes would appear in a Year 2000 (Y2K) revision of the evaluation forms. The EAST seized this opportunity to align EPEFs and the advancement system. The Team also aligned the results of the Non-rate Workforce Structure Study (NWSS), the Chief Petty Officer Needs Assessment (CPONA), and the Senior Enlisted Needs Assessment (SENA) with revisions to the EPEFs and the advancement system.

Personal, Leadership, and Future Potential Factors

The EAST first focused on non-rates', petty officers', and chief petty officers' *general* performance characteristics; i.e., criteria appropriate for performance evaluation without consideration of specific rating.

Using the non-rate and chief petty officer "optimals" the NWSS and CPONA identified, the Team developed three different field surveys for input on the most important, appropriate criteria to include on non-rate, petty officer, and chief petty officer EPEFs for making advancement decisions. The surveys included past performance (i.e., during the marking period) and future potential criteria. Approximately 9,000 surveys were sent to every Active and Reserve Coast Guard unit; the return rate exceeded an impressive 50% for each of the three different surveys. See Appendix H, Field Surveys.

The results of these surveys provided the EAST and EPEF QAT with the information needed to develop revisions to the non-rate, petty officer, and chief petty officer EPEFs. The SENA provided future potential criteria for the chief petty officer EPEF. SENA also provided an experienced, expert editorial review of all proposed revisions to existing EPEFs.

Professional Factor

The Team consulted the Rating Managers to determine how to measure enlisted members' performance in their particular ratings on the EPEFs. During their deliberations, the Rating Force Managers considered rating- and community-specific EPEFs, e.g., ATON, aviation, shore operations. They determined the existing EPEFs' generic format was the best method to evaluate on-the-job expertise. The results of the 1976 Ohio State University study, which concluded a series of forms based on ratings or specialty areas was impractical, supports the Rating Managers' recommendation.

Representing the Coast Guard Factor

Whether in a military or other agency, employees' ability to represent the organization appropriately was a common criterion in the promotion systems reviewed during the Team's research. The senior manager interviews and field EPEF QAT/EAST survey also identified representing the organization as a key criterion in advancement decisions. The EAST determined the EPEF is the best medium to capture members' ability to represent the Coast Guard. The revised EPEF evaluates a member's *Representing the Coast Guard Factor*, judging *Appearance* (extent to which the member appeared professional and well-groomed in uniform) and *Customs and Courtesies* (extent to which the member followed military protocol).

Important Note

At the time of this report, the EPEF revisions still are under review. Significant changes include separate sections in the non-rate, petty officer, and chief petty officer EPEFs specifically addressing future potential. Also, the revised EPEF measures the criteria on an individually itemized 5-point scale based on standard, expected, observable behavior without using subjective descriptive words such as "consistently", "extremely", and "occasionally". This Study's recommendations are critically linked in whole to approving and using the revised EPEF. See Appendix I, Draft Revised EPEFs.

Criteria: Incorporated Into the Advancement System

Throughout its deliberations the Team developed basic criteria on how to incorporate the EPEFs into the advancement system. The final recommendation incorporates all these criteria:

- Fairness,
- Clarity,
- Rewards the most recent performance,
- Rewards improving and sustained performance and reflects an element of "forgiveness over time",
- Evaluates in current pay grade only, i.e., link to time in grade in present rating and doesn't cross EPEF forms, e.g., non-rate, petty officer, chief petty officer,
- Includes special evaluations,
- Considers increased expectations at significant career change points,
- Minimizes additional changes to the current evaluation system (frequency of EPEFs), and
- Works for Reserve component.

Formula: Incorporated Into the Advancement System

Pay Grade	Min TIR/G (Recommended) [See page 31.]	Max # of Years Looking Back Within the TIR with 10 EPEFs Maximum (Current Pay Grade) Most Recent EPEFs Weighted More than Earlier EPEFs on a Linear Scale*
E-4 to E-5	6 months	2 years
E-5 to E-6	12 months	2 years
E-6 to E-7	24 months	3 years
E-7 to E-8	24 months	4 years
E-8 to E-9	24 months	5 years

*Multiply the appropriate EPEF factor's total score from each EPEF within the number of years preceding the CGSEAS calculation (up to 10 EPEFs for current pay grade only) by that EPEF's weighted factor. The factor begins with 10 for the most recent report and decreases by a factor of 1 for each subsequent report, i.e., 10, 9, 8, 7, 6, etc. Add the total value of each appropriate EPEF factor for a total. Divide that total by the sum of the time-weighted factors added together for the final EPEF score.

Example: Member has 7 EPEFs to include in the CGSEAS for the "Representing the Coast Guard" factor.

Total scores for the "Representing the Coast Guard" factors are from the most recent EPEF backward to the earliest EPEF: 6, 6, 7, 8, 8, 8, 9

Calculation:

EPEF Score	Year Weight	=	Total Score
6	10	=	60
6	9	=	54
7	8	=	56
8	7	=	56
8	6	=	48
8	5	=	40
<u>9</u>	<u>4</u>	=	<u>36</u>
	49		350

$$\text{Weighted Score} = 350/49 = 7.1$$

See Appendix J, Armed Forces Evaluations Table.

Basic Eligibility: Performance Requirements

In addition to including the EPEF in the advancement formula, the Coast Guard should retain eligibility requirements related to the EPEFs as follows:

- Commanding Officer's recommendation for advancement is mandatory. This Study recommends changing the wording and presenting the "Recommendation for Advancement" block on the EPEF and has so recommended to the EPEF QAT. The recommended change clarifies the relationship of the recommendation for advancement to the completion of eligibility criteria, defines the favorable recommendation, and puts the positive mark ("Concur" or "Recommended") before the negative mark ("Do Not Concur" or "Not Recommended") on the form as follows:

RECOMMENDATION TO PARTICIPATE IN THE ADVANCEMENT PROCESS

[This block must be completed regardless of the individual's eligibility for advancement. Do not complete for E-9s.]

In the view of the rating official, this individual is fully capable of satisfactorily performing at the next higher pay grade. If all eligibility requirements have been met, this constitutes an official recommendation to participate in the advancement process.

- Supervisor: Concur
 Do Not Concur
- Marking Official: Concur
 Do Not Concur
- Approving Official: Recommended
 Not Recommended

- No mark of one (1) in any category (revised versions of the EPEFs). A mark of one (1) indicates the member does not meet the standard performance requirements as identified by the NWSS and CPONA and validated by the field EAST/EPEF QAT surveys and the SENA team as appropriate for use on EPEFs for advancement decisions.

- No unsatisfactory mark in “Conduct”. This Study recommends retaining unchanged the existing policy of ineligibility for advancement after receiving an “unsatisfactory” conduct mark on the EPEF. However, the Study recommends changing the EPEF’s wording and presentation of the “Conduct” block. The Team recommends changing the “Conduct” block to define the standard and putting the positive mark (“Satisfactory”) before the negative mark (“Unsatisfactory”) on the form as follows:

CONDUCT: Whether the member maintained the standards of good conduct, evidenced by no NJP, CM, or civil conviction; or brought discredit to the Coast Guard, evidenced by adverse CG-3307 documentation (e.g., financial irresponsibility, not supporting dependents, or alcohol incidents); or failed to conform to civilian or military rules or regulations.

Satisfactory



Unsatisfactory



Awards

The Team unanimously agreed the Coast Guard's enlisted advancement system should continue to consider earned medals and awards but with some changes. They believe awards recognize excellent performance EPEFs normally do not reflect but which the Coast Guard should consider in the overall past performance criteria.

Criteria: Incorporated Into the Advancement System

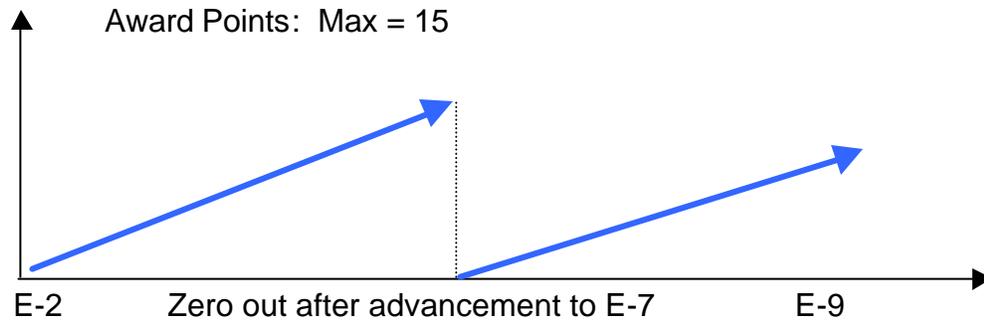
The Team developed basic criteria throughout their deliberations on how to integrate awards into the advancement system. This final recommendation incorporates all these criteria:

- Fairness,
- Clear and trackable
- Includes credit for awards earned later in career (prevent early "max'ing out"),
- Reduce possibility for "max'ing-out" award points early in career and making award points non-discriminatory (i.e., a large portion of the workforce "maxed-out") by increasing maximum award point while at the same time do not undervalue the significance of award points,
- Values awards earned in management positions for management-level advancements, i.e., recognizes a significant career transition point,
- Same opportunity within a particular rating to earn the award over a career,
- Should avoid "double dipping" or "double penalty", and
- Award is result of a personal accomplishment.

Formula: Incorporated Into the Advancement System

To recognize the significant career change that occurs at between E-6 to E-7, the Study recommends assigning zero value ("zeroing out") to awards earned at E-1 to E-6 ratings, with the exception of 10 awards for heroism. The Team believed it was critical to avoid awarding points for advancement from E-7 to E-8 and E-8 to E-9 for awards earned prior to being advanced to E-7. At the same time, however, the Team also believed that the 10 identified "hero" awards are so important that no matter when awarded, their impact and relationship to future advancements should be lasting.

The Team also recommends increasing the maximum points attainable be increased from 10 to 15. This increase reduces the possibility of members earning the maximum points early in their careers. The maximum point increase also limits the number of members with maximum points making award points in the CGSEAS a non-discriminator, i.e., adding no valuable impact to the overall score.



The results of the CPONA clearly indicated that involvement in community service is highly desirable in the establishment of a well-stocked “tool box”. The Team recognized that involvement in volunteer activities, whether in support of the Coast Guard-family or other organizations, is highly valued by the organization and should be considered in the CGSEAS. The Team recommends one (1) award point be given for earning the Military Outstanding Volunteer Service Medal. The Military Outstanding Volunteer Service Medal is awarded for volunteer service to the civilian community, including the Coast Guard family, that is significant and produces tangible results reflecting favorably on the Coast Guard and the Department of Transportation. The award is intended to recognize exceptional community support over an extended period of time and not a single act or achievement. The 1-point value assigned, which is equal to the 1 point awarded for the Letter of Commendation, was chosen primarily to reflect the requirement that the volunteer service recognized must have occurred over a sustained period of time and the value the Coast Guard puts on volunteer service.

The Team also considered recommended the Swivel Shot Award for “volunteer service to the Coast Guard family” be recognized with 1 point in the CGSEAS. However, the Military Outstanding Volunteer Service Medal (authorized in 1993) recognizes both volunteer service within the Service and in the Community making the Swivel Shot Award redundant for military members. The Team recommends the eligibility for the Swivel Shot Award be reviewed and changed as necessary.

Finally, the Team recommends elimination of the award points for the Coast Guard Good Conduct Medal under its current eligibility requirements. The Team recognized the ingrained cultural implications of eliminating these points but believes that the credit for good conduct is taken into account in other factors of the CGSEAS (e.g., basic eligibility for advancement and the standards included in the revised EPEFs). The ancillary benefit to eliminating the points for the Good Conduct Medal is eliminating the current “triple jeopardy” for the members who lose their good conduct eligibility (i.e., loses award, loses eligibility, and loses points for advancement). Also, since the authorization of the Good Conduct Medal in 1921 Coast Guard culture has changed. The Service now has a standard of compliance with its Core Values of Honor, Respect, and Devotion to Duty essentially making “good conduct” a condition of employment. Also, it was not clear to the Team that the Good Conduct Award is awarded as a result of personal accomplishment.

Therefore, before the points are awarded in the CGSEAS for the Good Conduct Award, the Team the basic eligibility for the award has been reviewed.

The Team recommends the Munro Award, recognizing outstanding leadership and awarded only once each year to one enlisted member (similar to the Jarvis Award awarded to an officer once each year), be included in the CGSEAS. The eligibility criteria, similar to the requirements of the Enlisted Person of the Year award, are significant enough to assign a relatively high point value; the Team recommends 3.5. (Under a separate initiative, the Master Chief Petty Officer of the Coast Guard is seeking the Commandant's approval of meritorious advancement for E-6 and below recipients of the Munro Award. If that initiative is approved, the Team recommends no points be awarded if a meritorious advancement was granted to the recipient.)

In summary, the Study recommends changing the award points included in the enlisted advancement system as shown in the table on the next page.

Current Award Points	New Award Points	Career Carry Forward?	Award
10	12	Yes	Medal of Honor
6	9	Yes	Navy Cross
6	8	No	Transportation Distinguished Service Medal
6	8	No	CG Distinguished Service Medal
6	8	Yes	Silver Star
6	7	No	Legion of Merit
6	7	Yes	Distinguished Flying Cross
6	7	Yes	Coast Guard Medal
6	6	Yes	Gold Lifesaving Medal
5	6	Yes	Bronze Star Medal
4	5	Yes	Purple Heart
4	4	No	Meritorious Service Medal
4	4	Yes	Air Medal
4	4	Yes	Silver Lifesaving Medal
New	3.5	No (New)	Munro Award
3	3	No	Coast Guard Commendation Medal
3	3	No	Navy Commendation Medal
2	2	No	Coast Guard Achievement Medal
2	2	No	Navy Achievement Medal
1	1	No	Commandant, Letter of Commendation
1	1	No	Combat Action Ribbon
1	1	No	Secretary of Transportation Letter of Commendation
New	1	No (New)	Military Outstanding Volunteer Service Medal
1	0	N/A	CG Good Conduct Medal
Maximum Points = 10	Maximum Points = 15		

See Appendix K, Armed Forces Awards Table.

Time in Grade in Present Rating and Time in Service

In 1996, the Enlisted Career Goals and Workforce Management Tools QAT was chartered to define the parameters of a Coast Guard enlisted career and determine the workforce management tools needed. That Study defined an “ideal” enlisted career with the intent of measuring personnel planning successes and failures and establishing specific goals to manage the enlisted workforce. Specifically, it attempted to incorporate all aspects of an “ideal” career path in developing an “ideal” time in grade in present rating (TIR) and time in service to advancement (TISADV) values. This QAT based its recommendations both on quantitative and qualitative information.

Pay Grade	TIR		TISADV	
	Current Minimum	QAT Proposed Minimum	Current Minimum	QAT Proposed Minimum
E-4 to E-5	6 months	6 months	N/A	14 months
E-5 to E-6	12 months	24 months	N/A	38 months
E-6 to E-7	24 months	36 months	N/A	6 years 2 months
E-7 to E-8	36 months	36 months	10 years	10 years
E-8 to E-9	24 months	36 months	12 years	13 years

Early in considering whether to recommend changing the minimum TIR and TIS, the Team determined the 1996 QAT’s recommendations may need to be reviewed and would not recommend any specific change(s). However, to validate or refute the initial plan not to make changes, the EAST requested input through a written survey of two Chief Petty Officer Academy classes (East and West Coast) and the Senior Enlisted Advisory Team (SEAT) on whether to change the minimum TIR and TIS. The survey results indicated no clear trend; i.e., to increase or decrease the minimums.

The Team focused on avoiding creation of “artificial barriers” in the advancement system. That is, requirements of the process should add value to the advancement and not create unnecessary hurdles. The Team believed requirements for TIS and TIR are necessary minimum standards to provide a reasonable degree of credibility in the advancement system. Also, the Team recognized the importance of TIS and TIR minimums as the basic building block of the enlisted workforce “pyramid” structure.

In considering giving points for both TIR and TIS, the team was aware of a potential double count. That is, some of the TIR-years that earned points would be the same TIS-years that earned points. However, the Team recommends that both TIR and TIS earn points to account for members’ whose date of rank is adjusted after a break in service. If a member elects to leave the Service and is subsequently reenlisted, the Team believes the service experience prior to the re-enlistment was valuable and should be accounted for and rewarded in the CGSEAS.

The current requirements are “minimums”, i.e., some individuals may require more time to accrue the necessary service- and rate-related experience before advancing to the next pay grade. This concept appropriately requires the commanding officer or officer-in-charge to make a judgement call when recommending for advancement on the Enlisted Performance Evaluation Form.

Taking into consideration the 1996 QAT’s recommendations, the survey results, and the current minimums, the EAST recommends reducing the minimum TIR for advancement from E-7 to E-8 from 36 to 24 months and for advancement from E-8 to E-9 increasing the minimum TIR from 24 to 36 months. However, the current E-8 billet structure does not allow an increase in minimum TIR to 36 months. With the current billet structure the *average* TIR for E-8 is 3.75 years; if the *minimum* were increased from 24 to 36 months, the average TIR also would increase. The Coast Guard could accomplish this only by increasing the number of E-8 billets, which currently are limited by law to 2%. Given that constraint, the Team recommends reducing the minimum TIG for advancement from E-7 to E-8 from 36 to 24 months and making no change to the minimum TIG for advancement from E-8 to E-9. See Appendix L, Armed Forces TIR/TIS Table.

In making this recommendation (reduce minimum required TIR for advancement from E-7 to E-8 from 36 to 24 months) a key component of the Team’s rationale was the importance of the Commanding Officer’s or Officer-in-Charge’s recommendation for advancement. Every individual is different and requires a different span of time at one rank to achieve the necessary experience to successfully perform the duties of the next. The Commanding Officer’s or Officer-in-Charge’s recommendation must be accorded the requisite weight to prevent a member who, although he or she has the minimum required amount of time in rate, may be yet unready to be considered for advancement.

Criteria: Incorporated into the Advancement System

The Team developed these basic criteria to incorporate TIR and TIS into the advancement system:

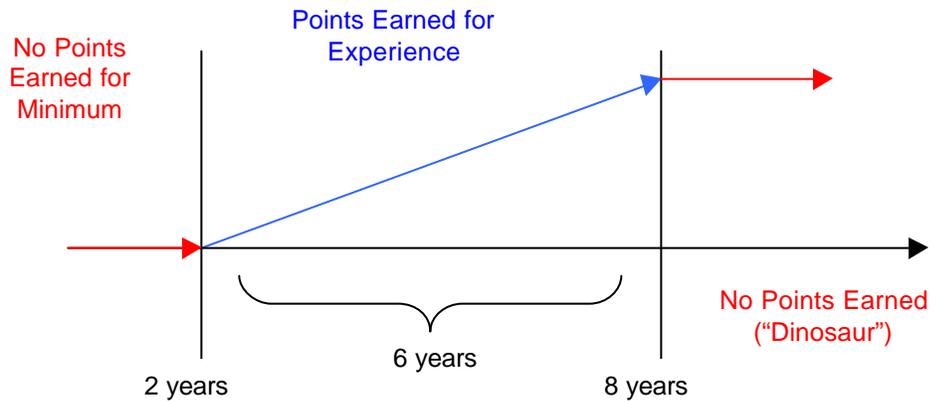
- Complies with public law,
- Clear,
- Considers impact on reserve: only Active Duty time counts for Reserve on Active Duty,
- Considers prior service but limit advantage of prior service time over continuous time,
- Levels the playing field by reducing “dinosaur points”,
- Distinguishes major career transition points,

Avoids additional hurdles to advancement where the system has other “checks”.

Incorporated into the Advancement System

Time in Grade in Present Rating		
Pay Grade	Minimum TIR No points earned	Max 12 Points @ 3 Points/Year up to E-7 and @ 2 Points/Year E-7 to E-9.
E-4 to E-5	6 months	4 years to max
E-5 to E-6	12 months	4 years to max
E-6 to E-7	24 months	6 years to max
E-7 to E-8	24 months	6 years to max
E-8 to E-9	24 months	6 years to max

TIR
Example:
E-6 to E-7,
E-7 to E-8,
E-8 to E-9



Time in Service				
Pay Grade	Average TIS per Billet Manual	Current HYT	Minimum TIS No points earned	Years Members Get Credit @ 1 Point/Year
E-4 to E-5	5 years	7/10 years	N/A	5 years to max
E-5 to E-6	10 years	20 years	N/A	10 years to max
E-6 to E-7	14 years	22 years	N/A	15 years to max
E-7 to E-8	18 years	26 years	10 years	20 years to max
E-8 to E-9	20 years	28 years	12 years	25 years to max

Rating-Specific and General Knowledge

Under the current enlisted advancement system, members must participate in a Service-wide Exam (SWE), offered on one day once or twice each year, depending on the pay grade. The SWE currently tests cumulative rating-specific and military knowledge. It is intended to be the primary ranker in what is known today as the “SWE Final Multiple”. It is not pass or fail. Among other requirements, before being eligible to take the SWE, members must take and pass two End-of-Course Tests (EOCTs); one testing rating knowledge and the other military knowledge (known as Military Requirements (MRN)). The EOCTs are not cumulative, but they are scored pass or fail.

A goal of the CGSEAS must be to ensure members have the knowledge required at the next pay grade. Therefore, the advancement system must provide a means to (1) measure the member’s knowledge against a minimum required standard (criterion-based exam) and (2) rank order the member’s knowledge against other candidates (norm-based exam). The current EOCTs provide the tool to accomplish the first, and the SWE, the second. The Team recommends streamlining the exam portion of the advancement process by combining the key features of the EOCTs and SWE.

An additional benefit to an examination process is the potential credit earned for use in the civilian sector. The American Counsel on Education (ACE) will not recommend credit for a course if it lacks a measurement tool. The EOCT is currently considered to be the device to show the member has passed the course and is eligible to earn credit.

Criteria: Incorporated into the Advancement System

The Team recommends eliminating the SWE and administering only two exams, the ***Military Knowledge Exam (MKE)*** and ***Rate Knowledge Exam (RKE)***. These exams would combine the best features of both the current SWE and the EOCTs and other criteria as follows:

- The exam should be pass or fail to ensure personnel have the required knowledge (rating and general military) for next higher pay grades,
- The examination process should be effective and efficient,
- The exams should be cumulative,
- The exams should be closed-book and proctored,
- Collaborative studying should be authorized; however, sharing information on the exam is *not*,
- Member takes the exam only once each advancement cycle. If member fails the exam the first time he or she can take it again but with a penalty, i.e., for the

single authorized retest, the highest score achievable is the minimum passing score,

- Member takes the exam each advancement cycle,
- The Military Knowledge Exam should contain relevant leadership modules at each pay grade. See Appendix M, Armed Forces Leadership Training Table.
- Leverage technology by downloading updates to courses annually,
- Provide course material containing the material that will be tested; i.e., whatever is in the course book is on the test (similar to the Air Force system), and
- Establish a yearly cycle with a 3- to 6-month window to take the exams to match the current assignment process, allowing score computation, final ranking in the advancement system, and updating the course.

Career Path

The Team engaged in considerable debate over whether it could quantify a career path for use in an equation-based advancement system. The Team determined it is virtually impossible to quantify fair, durable career path “requirements” across and within ratings for basic advancement eligibility and points in the advancement system.

The Team placed great value on leadership experience in advancing from E-8 to E-9. The Coast Guard must be in a position to choose the “best of the best” for the highest enlisted position. The Team emphasizes that E-9s are “different” than the other pay grades with requirements for advanced organizational and managerial skills that are difficult to quantify. The Service should consider career path—the assignments and experiences—and the documented performance and successes during a career when making that ultimate advancement.

Every other Armed Service uses a board selection process for advancement from E-6 to E-7, E-7 to E-8, and E-8 to E-9. The Army uses board selection for advancement to E-6. This gives evidence that the other Services believe in the importance in looking at the entire previous career, including previous assignments, performance, breadth of experience, and special skills, in order to select the best people for the highest enlisted positions. The Team believes there are valuable opportunities available to benchmark and learn from the other Services existing board selection procedures.

To that end, the Study recommends a board process for determining advancement from E-8 to E-9 with these constraints:

1. The CGSEAS equation is computed and used to determine who is eligible to compete based on the size of the selection zone,
2. All eligible E-8s in the zone must participate, i.e., those offered advancement to E-9 will be required to retire if they do not accept advancement,
3. The board must consider the CGSEAS score and the member’s entire record,
4. The board makes the selections with 100% discretion, and
5. The board precept must be available for review before the board proceedings.

This particular EAST recommendation should be forwarded to the Senior Enlisted Needs Assessment team, Senior Enlisted Advisory Team, and the Master Chief Petty Officer of the Coast Guard for further refinement.

Rate-Specific Requirements

The current advancement system incorporates both basic eligibility and “incentive” points for sea duty. The Team recommends retaining these requirements. Additionally, the Team recommends the CGSEAS should include consideration of other rate-specific requirements.

The rating managers, enlisted assignment officers, and Skills Utilization Management Study should make recommendations (for approval of at least the G-WP level) for criteria for these rate-specific eligibility and “incentive” points. The criteria should include specific jobs, e.g. PERSRU supervisor for YN, EPO for MK, necessary to provide the requisite experience to be successful at the next pay grade.

Out-of-Rate Assignments and Self-Investment

The previous and current Master Chief Petty Officer of the Coast Guard indicated their desire for the Team to address the issue of rewarding members for serving in out-of-rate assignments. The Team favorably considered the rewarding service in certain out-of-rate assignments and recommends the CGSEAS reward personnel for having held certain highly valued jobs requiring special training outside the normal rate-specific requirements. However, the Team also recommends that before members assume the duties of the out-of-rate assignment, they complete the “Performance Based Qualifications” for the next pay grade. This will ensure that members have the rate-related skills and abilities required of the next higher pay grade to which they might be advanced while serving in the out-of-rate assignment.

Also, the CGSEAS should encourage and reward self-investment, e.g., professional licenses, advanced degrees. The Chief Petty Officer Needs Assessment’s recommendations specifically noted self-investment was highly desirable in the senior enlisted “toolbox”.

However, the Team members believes the Senior Enlisted Needs Assessment Team, the Senior Enlisted Advisory Team, and the Master Chief Petty Officer of the Coast Guard should determine the specific assignments and criteria for self-investment the CGSEAS will reward.

Given the considerable limited infrastructure to support an equitable opportunity for self-investment initiatives and the potentially significant lead time required to make the necessary changes and improvements Servicewide, the Team recommends that the SENA also investigate the possible alternative of including an additional factor on the CPO EPEF specifically addressing self-investment.

Basic Eligibility

The Team does not recommend significant changes to the basic eligibility requirements for consideration in the CGSEAS. For example, members must:

- ✓ not exceed the maximum allowable weight or body fat standards;
- ✓ have a conduct satisfactory mark;
- ✓ achieve a mark of “2” or better for all criteria on the most recent EPEF (revised version);
- ✓ meet minimum TIR and TIS;
- ✓ pass a written Rate Knowledge Exam (RKE);
- ✓ pass a written Military Knowledge Exam (MKE);
- ✓ have requisite sea duty and other basic requirements as the rating force managers and assignment officers may develop;
- ✓ complete basic Performance-Based Qualifications;
- ✓ not be otherwise ineligible due to a disability or alien status;
- ✓ not have an approved retirement letter;
- ✓ attend leadership training. See Appendix M, Armed Forces Leadership Training Table.

Meritorious Advancements

The Team considered whether the Coast Guard should increase the number of authorized meritorious advancements beyond the current practice of once per year to the Active Duty and Reserve Enlisted Person of the Year award recipients. All other Armed Services authorize meritorious advancements at a level below the Commandant.

In July 1998, a Decision Memorandum presented a “stroke of the pen” initiative for Flag Officers to offer enlisted members meritorious field advancements up to E-6. The discussion noted meritorious field promotions represent an excellent way to recognize enlisted personnel’s superior achievements. The suggestion had the Human Resources Directorate’s and Coast Guard Personnel Command’s initial support because it would tangibly recognize some of our highest-performing enlisted members. However, it was recognized a meritorious field advancement policy would have to be crafted carefully to ensure the number of such advancements would not negatively affect a given rate or rating. Additionally, guidelines would need to prevent meritorious advancements from precipitating any unnecessary or unplanned PCS moves.

In responding to the proposal, field commanders were split on their support for the meritorious field advancement initiative, raising concerns over fairness and equity issues.

The Team found no outstanding reason to justify any change to the current meritorious advancement system and recommends the Coast Guard maintain the status quo of offering meritorious field advancements only to Enlisted Person of the Year award recipients. However, the Team wanted the advancement process to recognize and reward the value of extraordinary performance; the award point system should serve as the vehicle to do so. The Team was very concerned about real and perceived fairness and equity issues surrounding the criteria for meritorious field advancements; what is extraordinary performance at one location, whether at the Area, District, or some other level, may not be considered extraordinary at another.

However, as a side note, the Team recommends the Coast Guard more actively publicize the selection process and related proceedings surrounding the Enlisted Person of the Year awards.

Conclusion

The Team members believe they genuinely seized this unique opportunity to design an enlisted advancement system from the bottom-up. Their recommendations take into account the Service's needs, the unit's needs, and the member's needs. With great effort the Team members kept this critical balance in mind during every deliberation. Through the learning and use of Human Performance Technology principles, the Team remained true to the study process's outcome-based approach throughout the duration of their work.

These recommendations are "Core Value Compliant" and completely support the successful accomplishment of Coast Guard missions.

The implementation of the recommendations need not be accomplished immediately or simultaneously. The Team recognized that human resource data base support and other necessary supporting infrastructure may not be available or need to be improved.

A preliminary draft implementation plan is outlined in the table on the following 3 pages (42, 43, 44). A summary of the CGSEAS is provided on the table on page 45.

The Team makes these recommendations with great hope and anticipation they will be approved and implemented in their entirety.

"The difficulty lies not in the new ideas but in escaping the old ones."

Lord Keynes

<p align="center">Enlisted Advancement Study Team Recommendations</p> <p align="center">Coast Guard Service Enlisted (CGSEAS)</p> <p align="center">Preliminary Implementation Plan</p>				
Implementation Item	Implementation Issue(s)	Key Players	Comments	Conceptual Estimated Date
Designate Implementation Team	Coordinate CGSEAS implementation	G-WPM, G-WRI/HR SIC, G-WP-1, CGPC-epm, MCPOCG, G-IPA, EAST members	The Implementation Team shall coordinate overall CGSEAS implementation including review of impact on other military personnel policies and educating the field. EAST members shall remain available and be consulted. This team shall develop a time line for CGSEAS implementation taking into consideration EPEF schedule, assignment system, current advancement cycle, and other internal processes linked to the advancement process.	01 September 1999
Implement Enlisted Performance Evaluation Form (EPEF)	New EPEFs (Critical link to the CGSEAS)	CGPC-epm, EPEF QAT, SENA, G-WRI/HR SIC	Continue coordination with the EPEF QAT. Provide at least 3 years use of the new EPEFs before transition into CGSEAS. This will allow members to have an adequate number of EPEFs in their records for use in the CGSEAS.	New EPEFs on line by May 2000. Incorporate new EPEFs into CGSEAS May 2003
	New weighting	G-WRI/HR SIC	Incorporate the new weighting scale.	May 2003

Implementation Item	Implementation Issue(s)	Key Players	Comments	Conceptual Estimated Date
Revise Time in Grade in Present Rating (TIR) Requirements and Points	New TIR minimum	G-WRI/HRSIC	Revise the current "SWE Final Multiple".	January 2000
	New TIR points	G-WRI/HRSIC	Revise the current "SWE Final Multiple".	January 2000
Revise Time in Service (TIS) Points	New TIS points	G-WRI/HRSIC	Revise the current "SWE Final Multiple".	January 2000
Develop Rate-Specific Requirements and Points	Potential new minimums	Rating Managers, Assignment Officers, SUMS, G-WRI/HRSIC	Make recommendation for Rate Specific requirements to G-WP via the Implementation Team. Coordinate efforts with the JRR as appropriate.	March 2000 Incorporate into CGSEAS May 2003.
	Potential new points	Rating Managers, Assignment Officers, SUMS, G-WRI/HRSIC	Make recommendation for Rate Specific points to G-WP via the Implementation Team. Coordinate efforts with the JRR as appropriate.	March 2000 Incorporate into CGSEAS May 2003.
Develop Points for Out-of-Rate Assignments	New points	SENA, MCPOCG, G-WRI/HRSIC	Make recommendation for out-of-rate assignment points to G-WP via the Implementation Team.	March 2000 Incorporate into CGSEAS May 2003.
Develop Process for Board Selection to E-9	New process	SENA, MCPOCG, CGPC-epm	Make recommendation for E-9 board selection process to G-WP via the Implementation Team.	March 2000 Begin process May 2003

Implementation Item	Implementation Issue(s)	Key Players	Comments	Conceptual Estimated Date
Revise Awards Points and Criteria	New points	G-WRI/HRSIC	Revise the current "SWE Final Multiple".	January 2000
	New Awards	G-WRI/HRSIC	Revise the current "SWE Final Multiple".	January 2000
	Review Swivel Shot Award & Good Conduct Medal	G-WPM-3, SEAT, MCPOCG	Review Medals & Awards Manual (recommend consultation with DoD Armed Forces).	March 2000
Develop New Examination Process and Procedures	New process	G-WTT/CG Institute & Course Writers, G-WRI/HRSIC	Combine SWE, EOCT, MRN course writing processes & resources.	May 2003
Develop Criteria and Points for Self-Investment	New EPEF Factor (interim)	SENA, MCPOCG, EPEF QAT, G-WRI/HRSIC	Develop additional EPEF Factor addressing self-investment efforts. Coordinate with EPEF QAT.	July 1999
	New points	G-WTT, SENA, MCPOCG, G-WRI-HRSIC	Make recommendation to G-WT and G-WP via the Implementation Team for process and points for self-investment. Coordinate with G-O, G-M, G-S.	TBD
Develop and Implement New Leadership Curriculum	New "minimums"	G-WTT, G-WTL, MCPOCG	Coordinate with the Enlisted Career Development Plan (ECDP) implementation.	May 2003
Implement Full Scale CGSEAS Equations	New equation	G-WRI/HRSIC	Implement CGSEAS.	May 2003

Coast Guard Service Enlisted Advancement System (CGSEAS)

Criteria (Past) @ 66.6%	PO	CPO
Experience	30%	35%
Performance	60%	55%
Representing CG	10%	10%

Experience Criteria (35%)	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9	CGSEAS	Basic Eligibility
Time in Rate/Grade (TIR)	50%	50%	50%	50%	5%	New Points	TIR Minimum (New)
Time in Service (TIS)	40%	15%	15%	10%	5%	New Points	TIS Minimum
Rate Specific Requirements	10%	15%	15%	20%	20%	Sea Duty & Others TBD	Sea Duty & Others TBD
Out-of-Rate Assignments	0%	20%	20%	20%	20%	TBD	
Career Path	0%	0%	0%	0%	50% Board	E-9 Board	

Performance Criteria (55%)	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9	CGSEAS
Awards	15%	15%	15%	15%	15%	New Points
Prof, Pers, Leadership Factor (EPEF)	85%	85%	85%	85%	85%	New Factors & Points

Representing the CG Criteria (10%)	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9	CGSEAS	Basic Eligibility
Representing the CG Factor (EPEF)	100%	100%	100%	100%	100%	New Factors & Points	Satisfactory Conduct

Criteria (Future) @ 33.3%	PO	CPO
Ability	60%	60%
Knowledge	40%	40%

Ability Criteria (60%)	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9	CGSEAS	Basic Eligibility
Future Potential Factor (EPEF)	100%	100%	100%	100%	100%	New Factors & Points	Complete "PBQs" CO/OINC Recommendation Leadership Training

Knowledge Criteria (40%)	E-4/5	E-5/6	E-6/7	E-7/8	E-8/9	CGSEAS	Basic Eligibility
General	30%	30%	40%	50%	50%	MKE Points	Pass MKE
Rate Specific	60%	60%	40%	20%	10%	RKE Points	Pass RKE
Self-Investment	10%	10%	20%	30%	40%	TBD	

No mark of "1" on EPEF
Meet Weight Standards
U.S. Citizenship Status
Fit for Full Duty
No approved retirement letter