



## Enlisted Employee Review Responsibilities 4.D.01

**Learning Objective(s): IDENTIFY** the following personnel in your rating chain: Supervisor, Marking Official, Approving Official and your appeal Authority.

### Why You Need to Know This

As a member of the Coast Guard, you are subject to being evaluated by your chain of command. This evaluation process begins the day you arrive at your first unit, and does not end until you leave the service. The **Enlisted Employee Review System (EERS)** is not only used to document a member's past performance, but more importantly, it provides a road map for future improvement. The EERS process sets the performance standards by which all enlisted members are evaluated. This process also provides important information that may affect discharges, re-enlistments, good conduct, advancement eligibility and reductions in rate. Therefore, it is incumbent on you to understand how this process works and how you can make it work for you.

This lesson will provide you with the information you will need to know about your responsibilities regarding the EERS process.

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### Topics Covered

This section will cover the following topics:

- Enlisted Employee Review System (EERS) Rating Chain
- Member's Responsibility
- Supervisor's Role and Responsibilities
- Marking Official's Role and Responsibilities
- Approving Official's Role and Responsibilities
- Member's Right to Appeal
- Appeal Authority's Role and Responsibilities

At the end of this lesson you will be required to participate in a learning activity. You are encouraged to first review the learning activity and the sign off requirements located in the "**You and Your Supervisor**" section of this lesson. Reviewing this information before you begin the lesson will allow you to take proper notes and focus on key learning points.

**Enlisted Employee  
Review Rating Chain**

The rating chain assesses an enlisted member's performance and value to the Coast Guard through a system of multiple evaluators who present independent views and thus ensure accurate, prompt, and correct reporting. This process assesses actual performance since the last recorded employee review.

**Regular employee reviews:** Supervisors shall conduct regular enlisted employee reviews for all Petty Officers and non-rated personnel semi-annually. Supervisors shall conduct regular enlisted employee reviews for all CPOs, SCPOs and MCPOs annually.

**Unscheduled employee reviews:** Supervisors must conduct unscheduled employee reviews when a member:

- Advances to E-7 or above
  - Executes PCS orders
  - Changes approving officials
  - Is awarded non-judicial punishment
  - Is convicted by Courts Martial
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**Member's  
Responsibilities**

It is the responsibility of the member and the rating chain for meeting all EERS standards. Each member is ultimately responsible for:

- Understanding the purpose of EERS and the procedures set forth in COMDTINST M1000.6.
  - Finding out what is expected of them in their billet.
  - Obtaining feedback or counseling and using that information to adjust their performance as necessary.
  - Providing a list of significant accomplishments (if desired).
  - Signing the member's signature block on the counseling sheet and retaining the form as a receipt to indicate acknowledgement of:
    - Counseling and review
    - Impact on Good Conduct eligibility
    - Timeframe for appeal
    - Advancement potential and recommendation
  - Verifying through Direct Access that an individual employee review has been properly recorded.
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## **Supervisor's Responsibilities**

The supervisor must be an E-6 or above. He or she is responsible for:

- Becoming thoroughly familiar with the instructions, competencies, and standards before initiating an employee review.
  - Clearly **communicating goals** and acceptable standards of performance to the evaluatee before and **throughout the marking period.**
  - Gathering all written and oral reports on the evaluatee's performance and ascertains the status of the evaluatee's performance quals for next higher pay-grade.
  - Establishing a method for the evaluatee to provide input on his or her performance, these "bullets" should be submitted to the supervisor no later than 14 days before the end of the marking period.
  - Routing the completed employee review to the Marking Official no later than nine days prior to the period ending date, including supporting comments for any recommended supporting remarks.
  - Counseling the evaluatee on the employee review after the Approving Official's action. This portion of the evaluation process often directly affects the evaluatee's future success or failure. During the counseling session, the supervisor should provide the member feedback about his or her past performance. The supervisor should provide positive feedback for the member's strong points and discuss the areas in which the member needs to improve.
  - Making sure the evaluatee is provided with a printed counseling sheet and acknowledges receipt by obtaining their signature.
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**Marking Official Responsibilities**

The marking official is responsible for:

- Becoming thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).
- Gathering all written and oral reports of the evaluatee's performance.
- Reviewing recommended marks. Discussing with the Supervisor any recommendations considered inaccurate or inconsistent with the member's actual performance, paying special attention to recommended 1s, 2s, and 7s, unsatisfactory conduct marks, or low competency marks.
- Returning the employee review to the Supervisor for further justification or support for any marks.
- Routing the completed employee review to the Approving Official not later than five days after the employee review period ending date.
- Holding the Supervisor accountable for his or her EERS responsibilities.

In rare circumstances, the executive officer or executive petty officer may serve as Marking Official, where they provide primary task direction.

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**Approving Official's Responsibilities**

The Approving Official must be a Coast Guard officer or officer in charge (E-7 or above) or Coast Guard civilian who is the official supervisor of the Marking Official. Public Health Service officials assigned to Coast Guard commands may sign as Approving Official.

The Approving Official is responsible for:

- Becoming thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).
- Gathering all written and oral reports on the evaluatee's performance.
- Ensuring:
  - Overall consistency between assigned marks and actual performance/behavior and output without using any type of forced distribution process.
  - Evaluatees are counseled and advised of appeal procedures.
  - Employee reviews are submitted on time.
  - Required supporting remarks are completed.
  - All reviews initiated using an Employee Review Worksheets are entered into DIRECT ACCESS.
- Reviewing the Marking Officials recommended marks and discussing with him or her any recommendations considered inaccurate or inconsistent with the evaluatee's actual performance.
- Holding the Marking Official responsible for his or her EERS responsibilities.
- Forwarding the completed employee review to the Supervisor to counsel and inform the evaluatee.
- Ensuring the completed employee review, with support remarks (if applicable) are processed in sufficient time to permit them to be reviewed by the evaluatee through Direct Access no later than 30 days following the end of the marking period.

**Note:** The Approving Official authority may not be delegated. If an evaluatee works directly for the Approving Official and no one else supervises the member, the Approving Official shall complete the entire employee review and any appropriate supporting remarks. In most cases, the commanding officer is the Approving Official. However, in some commands, the commanding officer might not be the Approving Official.

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**Appeal Authority Responsibilities**

The appeal process is designed to review marks the evaluatee believes were based on:

- Incorrect information
- Prejudice
- Discrimination
- Extenuating circumstances

**Note:** A recommendation for advancement may **NOT** be appealed.

The Appeal Authority is responsible for:

- Reviewing and acting on the appeal within 15 calendar days after receiving it.
- Acting on an appeal, they may raise or leave the member's marks unchanged, but may not lower any assigned marks by the Approving Official.
- Ensuring copies of the appeal package (member's letter, command endorsement along with all enclosures, and Appeal Authority's action) are sent to Commander (CGPC-adm-3) for filing, and to Commanding Officer, PSC (adv) for review and possible update to the member's employee review data.

The Commanding Officer (or Approving Official) is responsible for:

- Ensuring all enlisted persons are aware of their right to appeal under this Article.
  - Ensuring counseling and clerical assistance is provided to any member desiring to exercise their appeal rights.
  - Adjusting the marks as a result of the appeal. However they may only raise or leave the member's marks unchanged, but may not lower any assigned marks.
  - Endorsing and sending the appeal letter to the Appeal Authority within 15 calendar days of receiving it from the member.
  - Ensuring the appeal contains specific examples of demonstrated performance that warrants the assigned marks and addresses any extenuating circumstances.
  - Ensuring the member receives a copy of the command's endorsement.
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### Learning Activity



To successfully complete this requirement you will need to identify the members of your rating chain, and discuss their roles and responsibilities with your supervisor.

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### For You and Your Supervisor

In order to meet the sign-off requirement for this lesson **YOU** must perform the following:

1. Prior to meeting with your supervisor review the contents of this lesson and organize your thoughts.
2. Identify the members of your rating chain and discuss their roles and responsibilities with your supervisor.

Before signing off on this requirement your **SUPERVISOR** must:

1. Make sure the member can identify the members of their rating chain and understands their roles and responsibilities.
  2. Provide the member with corrective feedback and answer any questions they may have related to this topic.
  3. Sign off the check-off sheet on the Record of Enlisted Professional Military Education (E-PME) Performance Requirements.
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### References

The references used to develop this lesson can be found at CG Directives (CG-612), [www.uscg.mil/directives](http://www.uscg.mil/directives):

- Coast Guard Personnel Manual, COMDTINST M1000.6 (series)
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