CHAPTER 7
OFFICER EVALUATION SYSTEM

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Officer Evaluation System (OES)

INTRODUCTION Undoubtedly, the most important document in your career is the Officer Evaluation Report (OER). OERs are key determinants for:

- Promotions
- Assignments
- Selection for Educational and Special Programs

RESPONSIBILITY Ultimately, only you are responsible for managing your performance; however, the entire rating chain bears responsibility for the timely submission and quality preparation of an OER.

REFERENCE COMDTINST M1000.6 (series), Personnel Manual

PURPOSE Provides information on which to base important personnel management decisions about an individual officer.

- Career development
- Assignment
- Promotion
- Sets standards by which to evaluate each officer's performance and character
- Describes a common set of values to which the Coast Guard officer corps can aspire
- Provides feedback to each officer about how well he or she measures up to the standards
- Command and Control
  - Reinforces command authority
  - Delineates lines of authority and responsibility
- Maintains Coast Guard values and standards by which to evaluate each officer on:
  - Job performance
  - Common professional values and standards
  - Coast Guard customs
  - Compliance with conditions of service

OER RATING CHAIN

REPORTED-ON OFFICER

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SUPERVISOR

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REPORTING OFFICER

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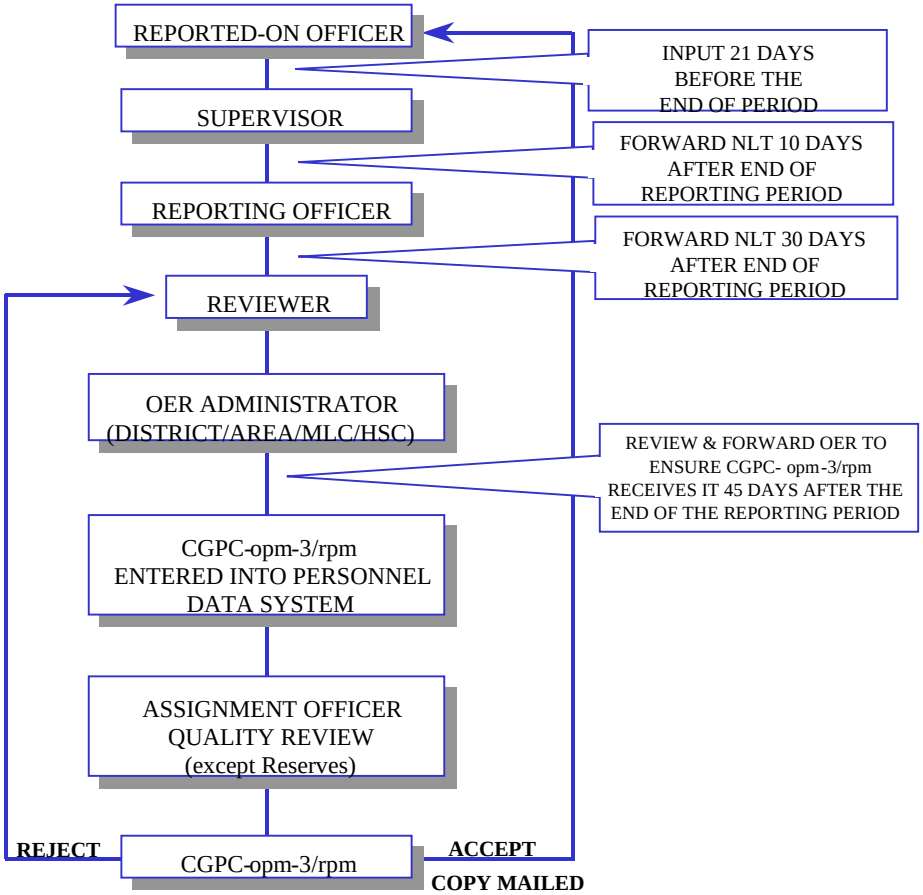
REVIEWER

OER RATING CHAIN RESPONSIBILITIES

OER RATING CHAIN



REPORTED-ON OFFICER (ROO)

As an evaluated officer, your responsibilities include:

- Managing performance.
- Learning the rating chain.
- Initiating beginning and end-of-period meetings with supervisors.
- Seeking performance feedback during the period. Individual feedback needs vary.
- Preparing OER sections 1 and 13. Submit OER with list of significant achievements or performance aspects which occurred during the period to your supervisor at least 21 days before the end of the reporting period.
- Notifying CGPC-opm-3/rpm directly if a copy of your completed OER has not been received 90 days after the end of the reporting period.
- Providing OES instructions to your evaluation official (if non-Coast Guard) when assigned outside the Coast Guard.

OER RATING CHAIN RESPONSIBILITIES

SUPERVISOR

The key to the OES is the supervisor who must hold an officer accountable in meeting OES requirements. One day, the supervisor's subordinates will be supervisors themselves. To a large degree, their future performance depends on a supervisor's ability to help them develop today!

The supervisor's responsibilities include:

- ☞ Discussing duties and areas of emphasis with the officer.
- ☞ Noting important performance aspects.
- ☞ Providing performance feedback throughout the period.
- ☞ Finalizing the OSF worksheet if used (required for ENS and LTJG).
- ☞ Preparing the supervisor's OER sections 2 through 6 and ensuring supporting comments in the OER to substantiate assigned marks.
- ☞ Initiating an OER if the officer is unavailable, unable, or unwilling to perform in a timely manner.
- ☞ Sending the reporting officer not later than 10 days after the end of the reporting period:
  - the OER
  - an OSF if used (required for ENS and LTJG)
  - any attachments
  - any relevant performance information

OER RATING CHAIN RESPONSIBILITIES

REPORTING OFFICER (RO)

The RO's responsibilities include:

- Preparing RO sections 7 through 11.
- Ensuring supervisor fully meets responsibilities.
- Returning OERs to the supervisor if:
  - the evaluation appears inconsistent with actual performance.
  - narrative comments do not substantiate numerical marks (specific performance and behavior observations).
- Counseling the supervisor if returning OERs for correction or reconsideration.
- Documenting the supervisor's OES performance.
- Initiating an OER if the officer and/or supervisor are unavailable, unable, or unwilling to perform promptly.
- Sending the reviewer within 30 days after the end of the reporting period:
  - the OER
  - any attachments
  - any relevant performance information
- On relief, providing written report summarizing the status of OERs.

The RO <u>cannot:</u>

- Direct how an evaluation mark or comment is to be changed.
- Direct a supervisor specifically to raise or lower a mark or add or delete a comment.

OER RATING CHAIN RESPONSIBILITIES

REVIEWER

The reviewer's responsibilities include:

- Checking the OER for:

  - a reasonably consistent picture of the officer's performance and potential
  - obvious errors and omissions
  - inconsistencies between numerical evaluations and written comments and failure to comply with instructions

- Returning OERs for correction of errors, omissions, or inconsistencies.

- Adding comments, as desired.

- Holding supervisors and ROs accountable.

- Completing mandatory reviewer comments and providing additional "comparison rating scale" marks when the RO was not a Coast Guard commissioned officer or Coast Guard civilian SES member.

- Sending the OER to the OER Administrator in time to allow receipt by CGPC-opm-3/rpm no later than 45 days after the end of the reporting period.

FINAL NOTE

Missing OERs can adversely influence promotions and assignments and delay retirements.

QUESTIONS?

CGPC-opm-3 ☎ (202) 267 – 0025
(202) 267 – 1699
(202) 267 – 6975
(203) 267 - 0321

CGPC-rpm ☎ (202) 267 - 0551

QUALITY OERs

DO

The key to a well-written OER is the quality of your input.

- ☞ Keep a weekly or daily log to document accomplishments—Not only what you did, but also its value or impact on unit mission or career development.
- ☞ Establish short, intermediate, and long-term performance goals; share them with your supervisor.
- ☞ Request specific recommendations in the Potential block. Examples may include promotion, graduate school, command, or a recommendation to chief warrant officer to lieutenant program.
- ☞ Be alert for signals from superiors. If signals are confusing, ask for clarification.
- ☞ Ensure issues raised in previous OERs are brought to closure.
- ☞ Read and understand Personnel Manual, Article 10.A.
- ☞ Gain a thorough understanding of your written job description. If it is out of date, rewrite it. If there isn't one, write it. Provide input to your supervisor in preparing Section 2 of the OER.
- ☞ Clearly understand the relationship between your job and your unit's mission.
- ☞ Contact CGPC-opm-3/rpm in writing if you have not received your OER receipt copy after 90 days after the end of the reporting period.
- ☞ Ensure all OERs are in your record before boards and panels convene.
- ☞ Ensure you have no pending OERs when you request retirement.
- ☞ Maintain a complete personal OER file.

QUALITY OERs

DON'T

- ☞ Don't assume your supervisor knows your accomplishments. Provide input 21 days before the end of the reporting period.
- ☞ Don't assume your supervisor knows when your OER is due or how to write it.
- ☞ Don't assume an overdue OER will eventually be submitted.
- ☞ Don't assume a last-minute OER will reach a board in time.
- ☞ Don't leave it to chance that the reporting officer knows your educational or assignment goals.

SUPERVISORS AND ROs

- ☞ An evaluation is both marks and comments. The numerical marks reflect the rater's evaluation of how well an officer's performance measures up to the standards. To distinguish among reviewed officers, supervisors and ROs should give selection board/panel members and assignment officers the information they need to make the best decisions by assigning numbers with specific narrative support and making appropriate recommendations.
- ☞ Provide specific comments. Don't write, for example, "He is a good manager," when actually "He set up an inventory control system which kept similar parts on the same form...completed project 2 weeks early; $2K under budget."
- ☞ The amount and quality of the information required depend on the mark assigned for each particular dimension. Marks of "4", the expected standard, do not require much comment; describe performance which exceeded or failed to meet the standard for "4".
- ☞ Use information "bullets", avoid extra words, use sentence fragments or phrases if the meaning is clear. Keep adjectives to a minimum.
- ☞ Begin "bullets" with action verbs, e.g., conducted, supervised, developed, etc. Readers need to know what the officer did, how it was significant, and its impact on the command or Coast Guard.
- ☞ Use common contractions, abbreviations, and acronyms where appropriate; strive for clarity and brevity.

ADDITIONAL INFORMATION AND APPEALING OERS

OER REPLIES

An officer may reply to any OER regardless of its content and have this reply filed with the OER. The reply expresses a fact-based view of performance, which may differ from the raters'.

REPLY PROCESS

- Submit OER replies within 14 days of receiving the OER from CGPC-opm-3/rpm.
- Submit through original rating chain.
- Remember OER replies do not constitute a request to correct a military record.

DEROGATORY OERs

Derogatory OERs contain a mark of "1" in any performance dimension or a "comparison rating scale" mark of unsatisfactory. An officer must have an opportunity to attach an addendum. CGPC-opm-1/rpm may recommend to CGPC-c that a special or "Show Cause" board convenes to determine that officer's fitness for continued retention in the Coast Guard.

OER CORRECTIONS

Any officer may seek correction of any OER, or any portion of it, if in their opinion the report is in error. Errors should always be addressed at the lowest possible level.

PERSONNEL RECORDS REVIEW BOARD (PRRB) POLICIES

If an individual believes his or her record contains an error, he or she can take formal action through the PRRB. Administrative, non-adversarial, and informal, the PRRB is not bound by formal rules of evidence. The board president recommends to G-WP the action to be taken.

- Burden of proof is on the applicant.
- Personnel records presumed to be administratively correct.
- Application must be supported by independent evidence.
- Not bound by past decisions, but should strive to treat similar cases consistently.
- Applicants or their representative may not appear before the board.
- Applications must be received at Headquarters within one year of the date the contested information was entered or should have been entered in the official record.

The board will not accept applications from retired or separated personnel.

ADDITIONAL INFORMATION AND APPEALING OERS

SUBMISSION PROCESS

- ☞ Complete the Application for Correction of Military or Naval Record (DD-149).
- ☞ On an attached sheet of paper, identify the specific alleged error and or omission and explain clearly why the record should be corrected. Include documents which support claim.
- ☞ Forward applications to:

  COMDT (G-WP)
  U.S. Coast Guard
  2100 2nd Street, S.W.
  Washington, D.C. 20593-0001

BOARD FOR CORRECTION OF MILITARY RECORDS (BCMR)

The BCMR process is a more formal method to resolve errors of military records. Membership of the BCMR consists of civilian attorneys appointed by the Secretary of Transportation.

LIMITATIONS

Normal filing limit is three years from date member leaves the Service.

SUBMISSION PROCESS

- ☞ Application must be sent to the Armed Force with custody of the record in which the injustice occurred.
- ☞ Restricted to policies, regulations, and laws in effect at time of error or injustice.
- ☞ Forward the completed Application for Correction of Military or Naval Record (DD-149) to:

  Chairman, Office of General Counsel
  Board for Correction of Military Records (C-60)
  Department of Transportation
  Washington, D.C. 20590-0001

OFFICER SUPPORT FORM (OSF)

PURPOSE

The OSF is both a worksheet and a management tool designed to:

- ☞ Delineate duties and responsibilities; identify areas to emphasize in this evaluation period and record changes in direction, including revised priorities and unexpected tasking that occurs during the evaluation period.
- ☞ Record significant accomplishments or pertinent aspects of the officer's performance or qualities that occur during the reporting period.
- ☞ File or collect information such as personal notes and official correspondence that contain information about the officer's performance.
- ☞ Assist supervisors and officers by serving as the supervisor's basis for constructive performance feedback to the officer during the period and preparing the OER at the end of the evaluation period.

WHO USES

An OSF shall be used by supervisors of all officers in the grades of ensign and lieutenant (junior grade) and,

- ☞ When requested by the reported-on officer; or,
- ☞ When directed by any senior member of the rating chain.

FEEDBACK TOOL

The OSF is an effective performance feedback tool for both supervisor and reported-on officer. The importance of one-on-one counseling as part of the OES system cannot be overemphasized. The officer's future performance depends largely on the supervisor's ability to help him or her develop.

ENCOURAGE USE OF OSF

The reported-on officer should arrange an initial meeting with their supervisor. This conference is mandatory for ensigns and lieutenants (junior grade) and optional for all other ranks. Three distinct phases deserve attention: preparation, the meeting itself, and following up afterward.

FLEXIBILITY

Supervisors and reported-on officers are encouraged to be flexible in using the OSF as an aid in executing their duties. Either individual should file copies of correspondence, messages, work lists, trip reports, and even paper notes in the OSF to document performance because this evidence can greatly assist in critiquing performance and writing the OER.

Because no specific method to use the OSF has been mandated, it is up to the supervisor to select a method that works best for themselves and the reported-on officer given their particular situation.

OER SUBMISSION

SUBMISSION SCHEDULE

The submission schedule is designed so officers on an annual schedule receive 12-month OERs and those on a semiannual schedule receive 6-month OERs. One of the most important elements of the OER is

TIMELINESS.

REFERENCE

COMDTINST M1000.6 (series), Personnel Manual

ACTIVE DUTY OERs

Annual or semiannual, as of the last day of the month:

Captain	May
Commander	March
Lieutenant Commander	April
Lieutenant	May
Lieutenant (Junior Grade)	January & July
Ensign	March & September
CWO (W-4)	April
CWO (W-3)	July
CWO (W-2)	June

SCHEDULE FOR REPORTING RESERVE OFFICERS

Reserve officers serving on Extended Active Duty (EAD) shall follow the active duty OER schedule.

IDT OERs shall follow the submission schedule below. Submit biennial OERs on even-numbered years.

Captain	May (annual)
Commander	March (biennial)
Lieutenant Commander	April (biennial)
Lieutenant	May (biennial)
Lieutenant (Junior Grade)	July (annual)
Ensign	September (annual)
CWO (W-4)	April (biennial)
CWO (W-3)	June (biennial)
CWO (W-2)	August (annual)

SPECIAL OERs

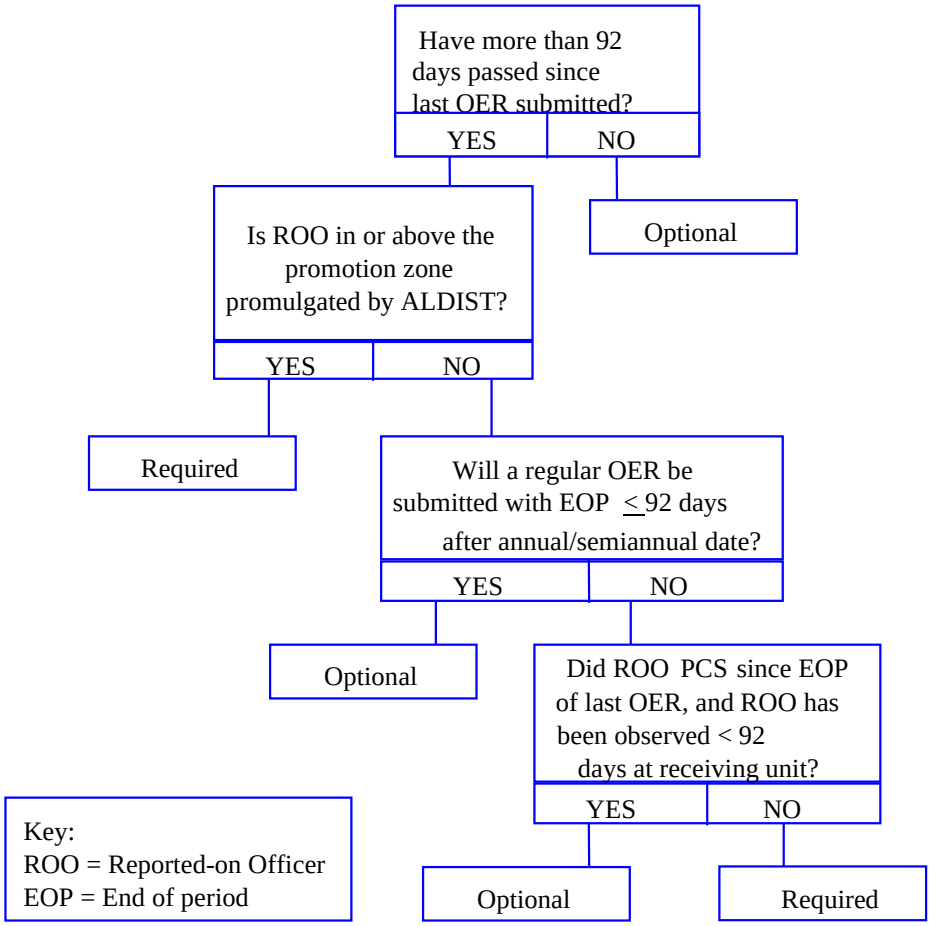
The Commandant, commanding officers, higher authority within the chain of command, or reporting officers may direct special OERs. The circumstances for the special OER must coincide with one of the criteria listed in the Personnel Manual.

CONCURRENT OERs

A concurrent OER is submitted in addition to the regular or special OER. The permanent unit's OER is never considered a concurrent report and should not be so identified.

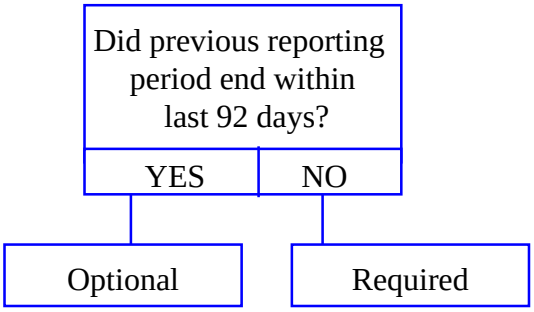
ADPL OER SUBMISSION FLOWCHARTS

OER FOR ANNUAL-SEMIANNUAL SUBMISSION



ADPL OER SUBMISSION FLOWCHARTS

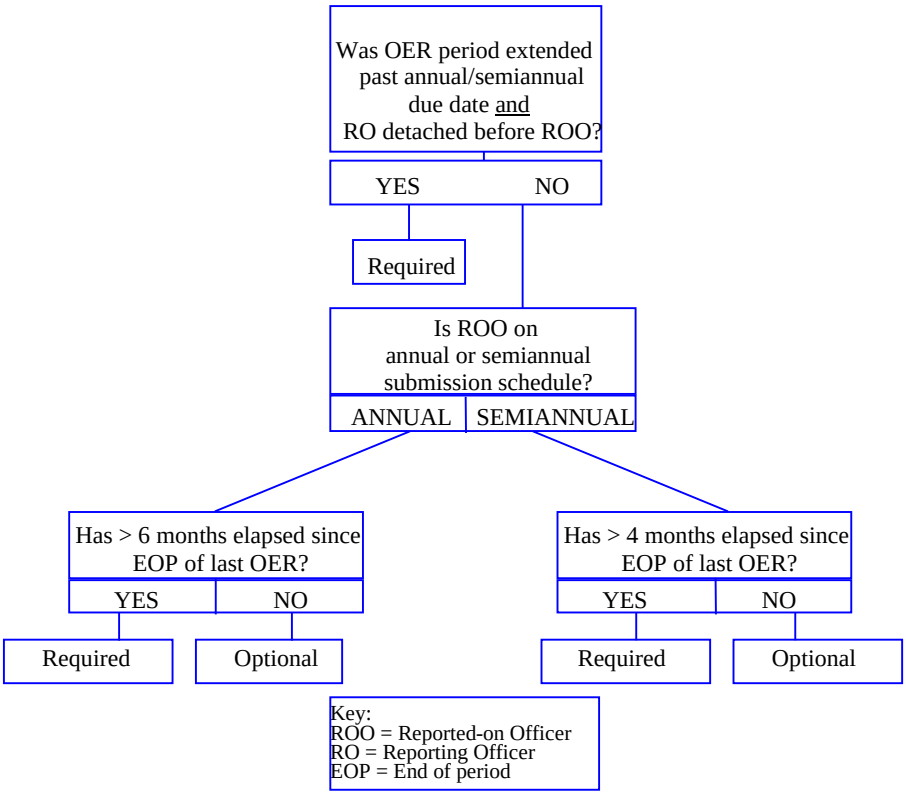
DETACHMENT OF REPORTED-ON OFFICER



Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

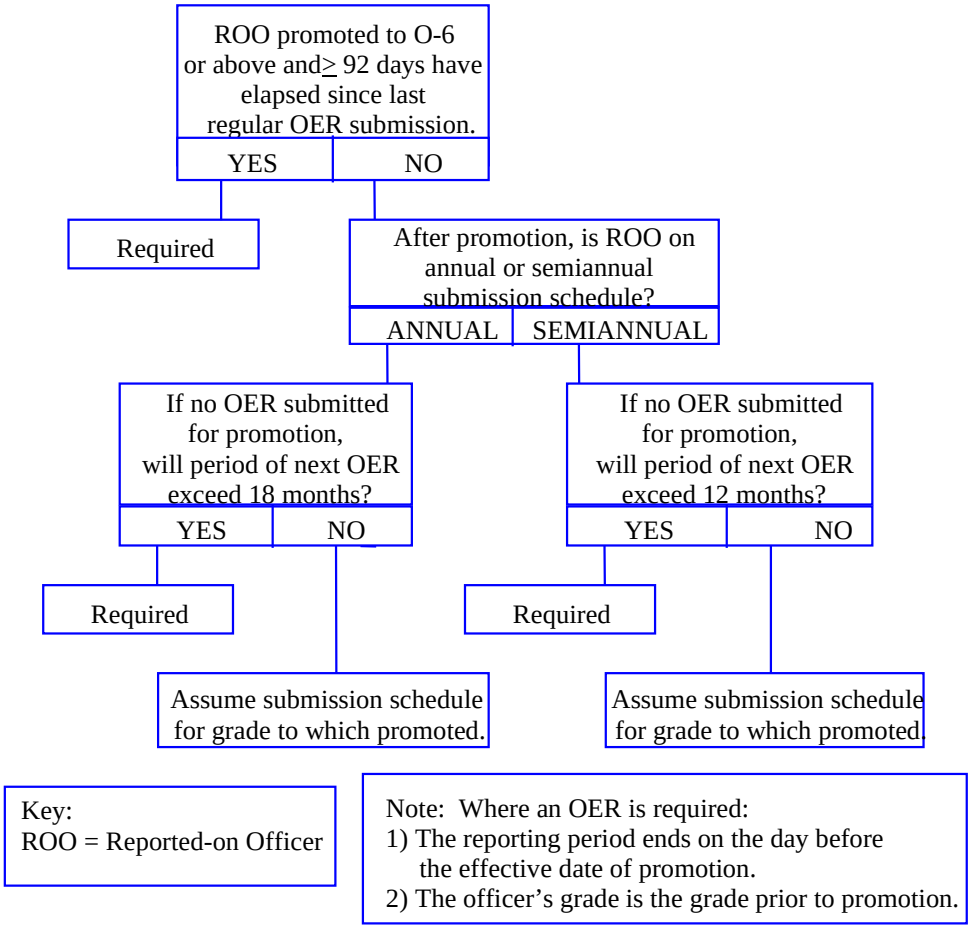
Key:
ROO = Reported-on Officer
EOP = End of period

DETACHMENT OR CHANGE OF REPORTING OFFICER



ADPL OER SUBMISSION FLOWCHARTS

PROMOTION OF REPORTED-ON OFFICER

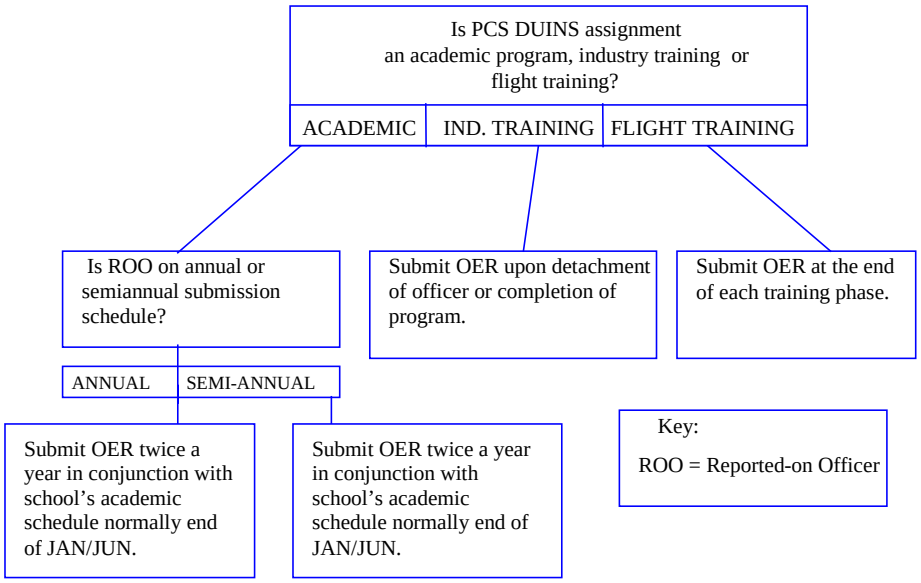


Key:
ROO = Reported-on Officer

Note: Where an OER is required:
1) The reporting period ends on the day before the effective date of promotion.
2) The officer's grade is the grade prior to promotion.

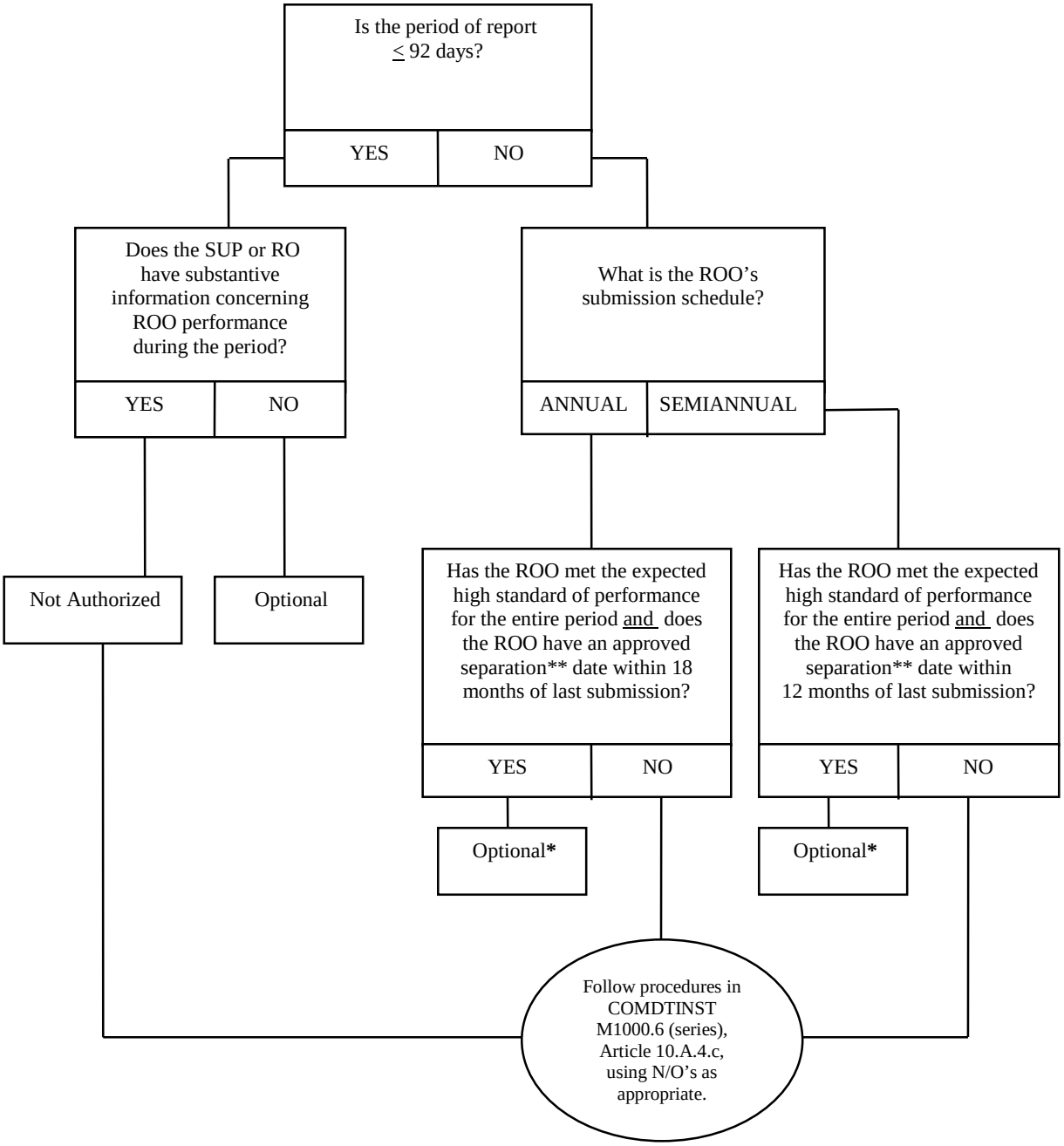
ADPL OER SUBMISSION FLOWCHARTS

DUTY UNDER INSTRUCTION



ADPL OER SUBMISSION FLOWCHARTS

OER FOR CONTINUITY PURPOSES

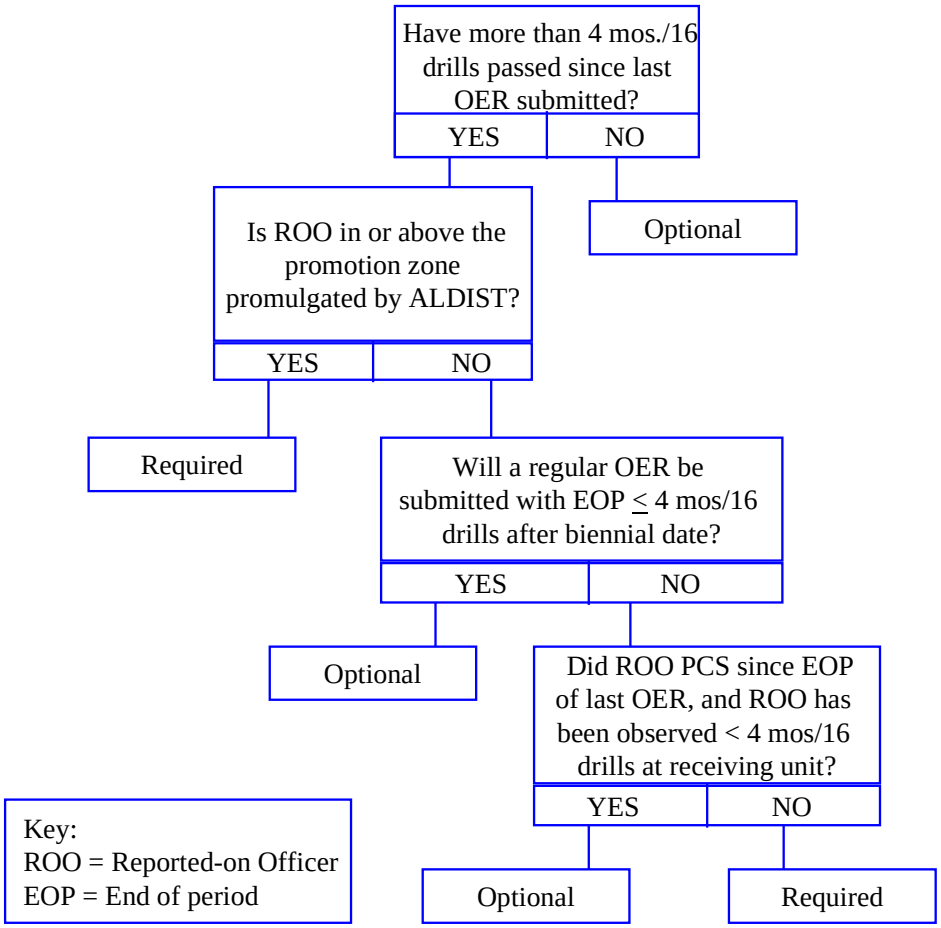


Key:
ROO = Reported-on Officer
SUP = Supervisor
RO = Reporting Officer
N/O = Not Observed

* In this instance, a regular OER must be completed if a continuity OER is not.
** Separations include retirement, discharge, and voluntary separation

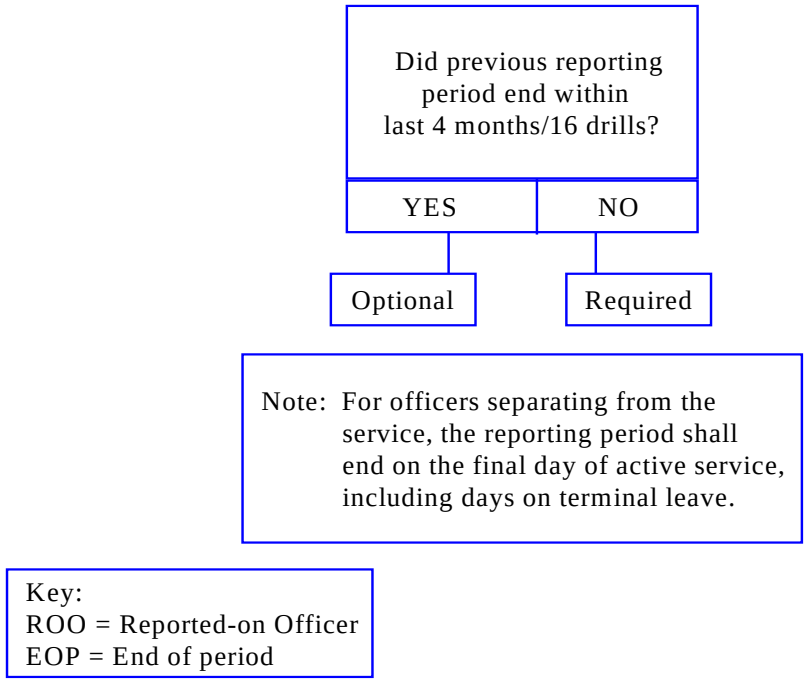
READY RESERVE OER SUBMISSION FLOWCHARTS

OER FOR ANNUAL/ BIENNUAL SUBMISSION SCHEDULE FOR RESERVES

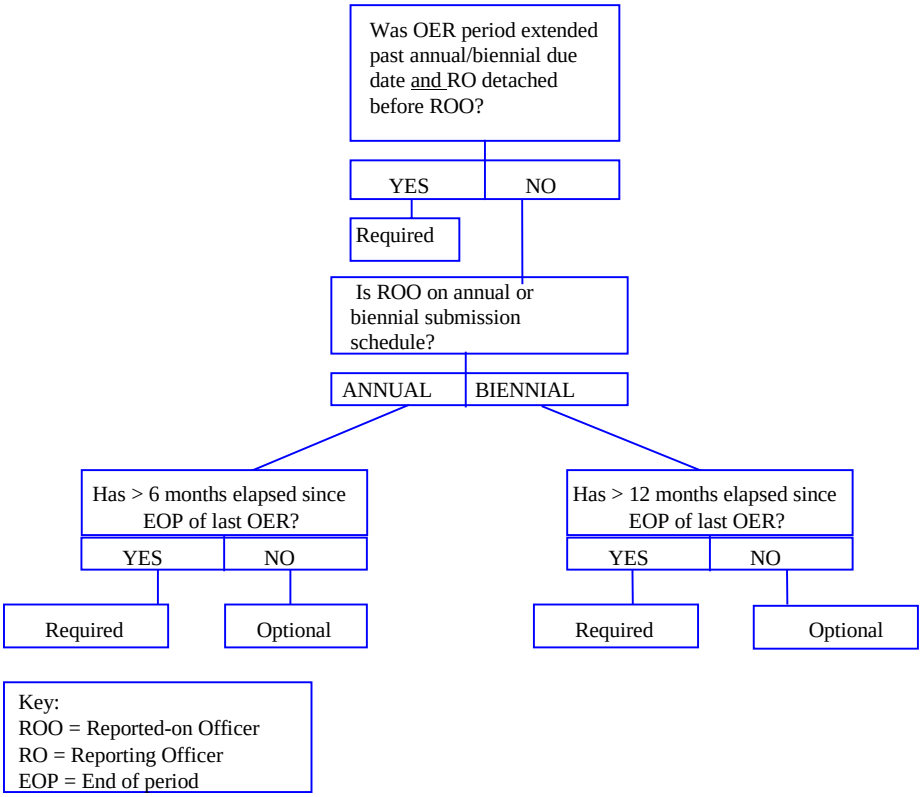


READY RESERVE OER SUBMISSION FLOWCHARTS

OER FOR DETACHMENT OF REPORTED ON RESERVE OFFICER

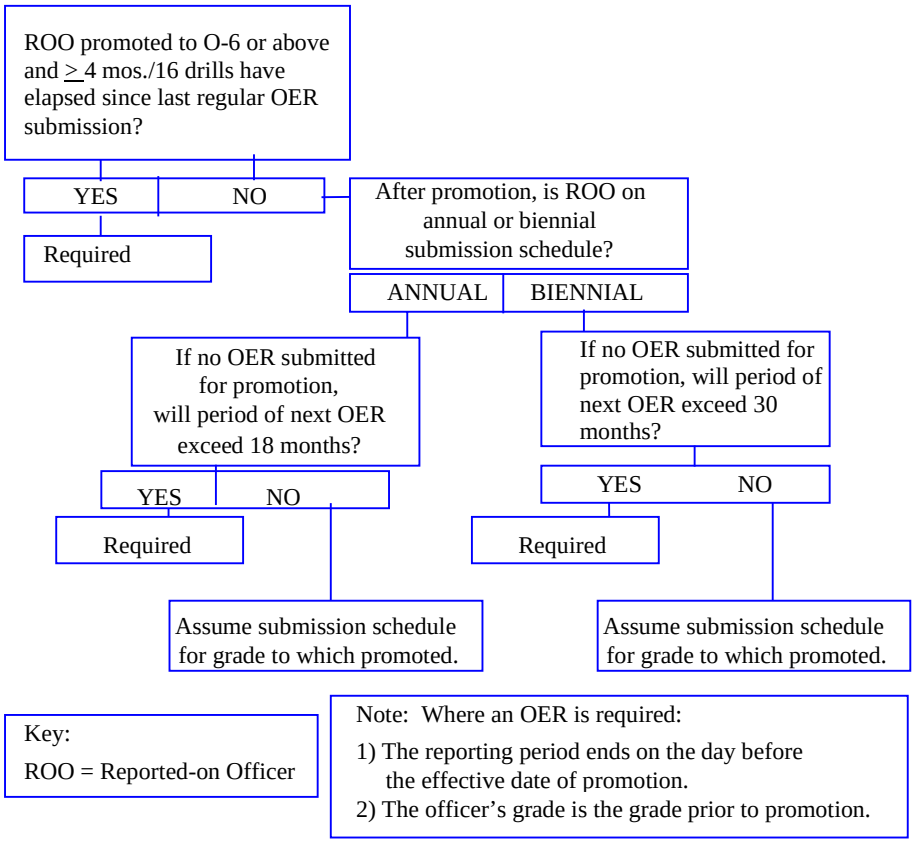


DETACHMENT OR CHANGE OF REPORTING RESERVE OFFICER



READY RESERVE OER SUBMISSION FLOWCHARTS

OER FOR PROMOTION OF REPORTED ON RESERVE OFFICER



Key:

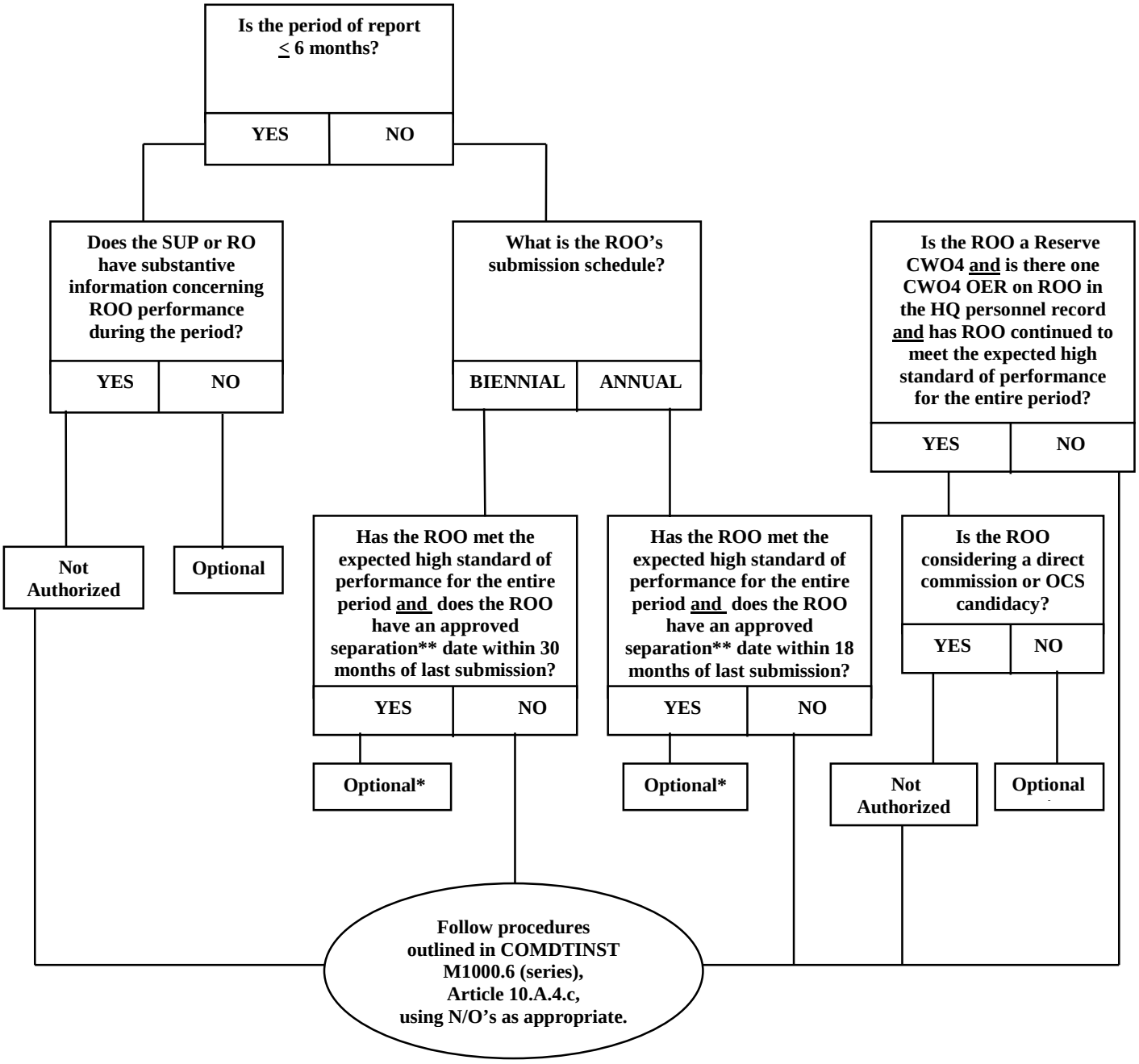
ROO = Reported-on Officer

Note: Where an OER is required:

1) The reporting period ends on the day before the effective date of promotion.
2) The officer's grade is the grade prior to promotion.

READY RESERVE OER SUBMISSION FLOWCHARTS

OER FOR CONTINUITY PURPOSES (RESERVE)



Key:
ROO = Reported-on Officer
SUP = Supervisor
RO = Reporting Officer
N/O = Not Observed

*** In this instance, a regular OER must be completed if a continuity OER is not.**
**** Separations include retirement, discharge, and voluntary separation**

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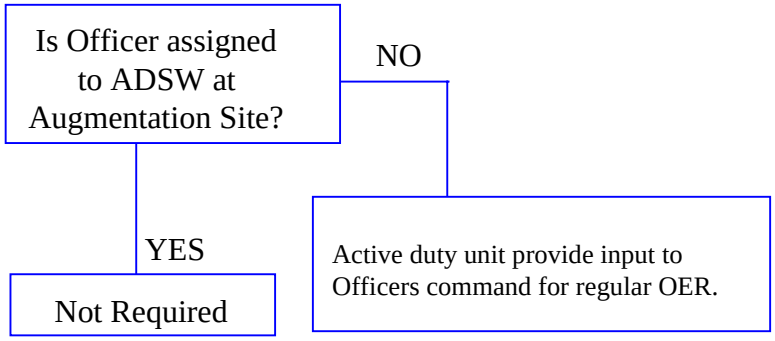
OER FOR READY RESERVE OFFICERS ON ADSW-RC OR ADSW-AC