

CHAPTER 5 OFFICER EVALUATIONS

5.A. Officer Evaluation System

5.A.1. General

This chapter applies to both active duty (ADPL) and reserve (IDPL) officers. Expanded reserve-specific guidance is provided as necessary. Commander (CG PSC) manages the officer evaluations system for all Coast Guard officers with the exception of flag officers who are managed under a separate system. Commander (CG PSC-OPM-3) manages all ADPL officers and Commander (CG PSC-RPM-1) manages all IDPL officers.

5.A.1.a. Purpose

The Coast Guard Officer Evaluation System (OES) has been designed to:

- (1) Provide information for important personnel management decisions. Especially significant among these decisions are promotions, assignments, career development, and retention.
- (2) Set performance and character standards to evaluate each officer.
- (3) Prescribe organizational values by which each Coast Guard officer can be described.
- (4) Provide a means of feedback to determine how well an officer is measuring up to the standards.

5.A.1.b. Policy

- (1) Commanding Officer Responsibility. Commanding officers must ensure accurate, fair, and objective evaluations are provided to all officers under their command. To that end, performance evaluation forms have been made as objective as possible, within the scope of jobs and tasks performed by officers. In using the Officer Evaluation Form, Form CG-5310, strict and conscientious adherence to specific wording of the standards is essential to realizing the purpose of the evaluation system.
- (2) Officer Responsibility. Individual officers are responsible for managing their performance. This responsibility entails determining job expectations, obtaining sufficient performance feedback, and using that information to meet or exceed standards.

5.A.1.c. Definitions

The following terms apply to the officer evaluation system:

- (1) Officer Evaluation System (OES). The Coast Guard system which addresses

performance appraisal of its officers.

- (2) Officer Evaluation Reports (OER). Officer Evaluation Report, Form CG-5310, used to document Coast Guard officers' performance and potential. Key elements of the form are as follows:
 - (a) Performance Dimensions. The items on which the Coast Guard evaluates its officers (e.g. writing, judgment, etc.).
 - (b) Evaluation Areas. The four major performance categories into which all performance dimensions are grouped (e.g. Performance of Duties, Leadership Skills, etc.).
 - (c) Performance Standards. The prescribed expectation levels within each performance dimension. The standards are written to provide a common frame of reference among rating officials to which an officer's observed performance and qualities may be compared. Each dimension has three separate written standards of performance:

Below standard	Describes performance not measuring up to the levels expected
Standard	Describes the high level of performance expected of all Coast Guard officers
Above standard	Describes superlative performance

- (3) Officer Support Form (OSF), Form CG-5308. The worksheet used to describe duties, establish goals, document accomplishments, and facilitate performance feedback.
- (4) Rating Chain. The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER as defined by the following roles:
 - (a) Reported-on Officer. The subject of the OER. All commissioned officers of the Coast Guard are evaluated periodically.
 - (b) Supervisor. Normally, the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.
 - (c) Reporting Officer. Normally the Supervisor's supervisor.
 - (d) Reviewer. Normally the Reporting Officer's supervisor.
- (5) Performance Feedback. No specific form or forum is prescribed for performance feedback. Performance feedback occurs whenever a subordinate receives advice or

observations related to their performance in any evaluation area. Performance feedback can take place formally (e.g., during a conference) or informally (e.g., through on-the-spot comments). Regardless of the forum, each officer should receive timely counseling and be clear about the feedback received. If feedback is not fully understood, it is the Reported-on Officer's responsibility to immediately seek clarification and the rating chain's responsibility to provide it.

5.A.1.d. System Goals

- (1) Personnel Management. The OES is an important part of the Coast Guard officer personnel management system. It supplies information to Commander (CG PSC-OPM) and Commander (CG PSC-RPM) for personnel management decisions in a variety of areas.
 - (a) Promotion. Throughout their careers, Coast Guard officers are selected for promotion to the next grade by boards of officers. Except for promotion to the grade of lieutenant (junior grade), more officers are eligible for promotion than are authorized under budget and statutory constraints. The cumulative file of officer performance evaluations provides one of the bases for selection of the best qualified officers from among those eligible.
 - (b) Assignment. Prior performance, personal qualities, and potential for increased responsibilities, as documented in each officer's OER file, are important considerations in decisions made by assignment managers and panels. While a number of other factors such as billet requirements, experience, personal desires, and availability are also considered, the high level of competition for many assignments places even greater emphasis on performance.
 - (c) Career Development. Career development is a cooperative process that seeks to meet immediate and future Coast Guard needs while satisfying the personal and professional aspirations of individual officers. The OES is a vehicle for performance feedback and career counseling by the rating chain and assignment managers.
 - (d) Performance Feedback. Performance feedback is an essential part of every officer's career development. Performance feedback by use of the OSF is the prescribed format for ensigns and lieutenants (junior grade). However, rating chains are strongly encouraged to provide timely performance feedback during and at the end of each reporting period for all officers. Rating chains are strongly encouraged to provide a copy of the completed OERs to Reported-on Officers prior to submission of the OERs to Commander (CG PSC).
- (2) Command and Control. The OES reinforces command authority by providing a clear delineation of the span of control and responsibility. While missions and resources primarily dictate organization, the OES can assist commanding officers in delineating lines of authority and responsibility, and ensuring common understanding of

responsibilities.

- (3) Maintenance of Coast Guard Values and Standards. Each officer is evaluated in the OES, not only regarding job achievements, but also on common professional values and Service standards. These values are not only customs, but conditions of employment in the Coast Guard. They are defined by the performance dimensions and standards listed on the OER.
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5.A.2. Responsibilities

5.A.2.a. The Rating Chain

The rating chain provides the assessment of an officer's performance and value to the Coast Guard through a system of multiple evaluators and reviewers who present independent views and ensure accuracy and timeliness of reporting. It reinforces decentralization by placing responsibilities for development and performance evaluation at the lowest levels within the command structure. The rating chain consists of the following members:

- (1) The Reported-on Officer
- (2) The Supervisor
- (3) The Reporting Officer
- (4) The Reviewer

5.A.2.b. Commanding Officers

- (1) Designation. Commanding officers are responsible to ensure members of the rating chain carry out their OES responsibilities. For the purpose of these instructions, commanding officers include area and district commanders, commanders of logistics/service centers,, commanding officers of Headquarters units and subordinate units or organizations and cutters.
- (2) Responsibilities. Commanding officers:
 - (a) Implement the OES within their commands.
 - (b) Designate and publish the command's rating chains.
 - (c) Provide copies of rating chains to unit OER Administrators.
 - (d) Assist and encourage the professional growth and knowledge of assigned officers by publishing the contents of reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards

and Panels, COMDTINST 1401.5 (series)

- (e) Establish procedures that ensure timely submission of reports. Ensure OERs for officers eligible for promotion or panel action are not delayed.
- (f) Provide local oversight and accountability for the proper preparation of OERs. Commanding officers are encouraged to monitor OERs submitted by the designated rating chain within their commands as a means of ensuring consistency.
- (g) Encourage supervisors and reporting officers to properly counsel subordinates by providing them timely feedback at the end of each reporting period and providing copies of completed OERs to them prior to submission to the unit OER administrator.
- (h) Encourage recurring training, for all officers within their commands, on the intent and procedures of the OES.
- (i) Obtain formal training from Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) for civilian employees of the Coast Guard who must perform the duties of either Supervisor or Reporting Officer. Civilians shall not be assigned to a rating chain before receiving OES training certification from Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) and having incorporated the OES rating chain responsibilities in their Core Competencies.
- (j) Apply the following guidelines to officers who are unable to fully perform due to illness, injury, pregnancy, etc.

[1] Periodically, officers may experience circumstances due to a temporary condition which result in a limited opportunity to perform. These circumstances may involve specific performance restrictions (e.g., those imposed by a medical authority), which require restructuring or reassignment of duties. While no preferential treatment shall be given, commanding officers shall ensure that these individuals do not receive below standard evaluations strictly as a consequence of these circumstances.

[2] Commanding officers, in consultation with the health care providers, must establish a “reasonable expectation of performance” given the individual’s current circumstances. In particular, commanding officers must determine whether or not an individual requires reassignment to a different work environment and/or restrictions on performing specific types of tasks. Additionally, reduced work hours may be necessary. When considering reassignment or restructuring of duties, commanding officers should strive to identify service needs which complement the temporarily limited abilities of the officer.

- (k) Ensure performance in meeting requirements of the Coast Guard occupational health and safety program are documented appropriately and consistently with the Reported-on Officer's assigned responsibilities and authority. (This paragraph complies with Article 1960.11 of 29 CFR XVII.).

5.A.2.c. Reported-on Officer

- (1) Designation. The subject of the OES. All Coast Guard commissioned officers are evaluated periodically.
- (2) Responsibilities. The Reported-on Officer:
 - (a) Learns the intent and procedures of the OES and identifies the members of the rating chain from the published list.
 - (b) Requests an appointment with the Supervisor, to occur not later than 21 days before the beginning of each reporting period, if clarification of duties and areas of emphasis is needed. This information may be delineated on the optional OSF worksheet or other format as specified by the Supervisor. A meeting shall be requested not later than seven days after reporting aboard a new unit.
 - (c) As necessary, seeks performance feedback from the Supervisor during the period.
 - (d) Prepares OER Section 1, Administrative Data, and Section 13, Return Address (found on page 4 of the OER form), and forwards the OER with proposed OER attachments to the Supervisor not later than 21 days before the end of the reporting period. Reserve Reported-on Officers shall verify and submit applicable activity required in Section 2 in accordance with Article 5.A.4.c.(2)(g) of this Manual.
 - (e) May submit to the Supervisor not later than 21 days before the end of the reporting period a listing of significant achievements or aspects of performance which occurred during the period. Submission is at the discretion of the Reported-on Officer, unless directed by the Supervisor. The optional OSF worksheet may be used. Supplemental information may be submitted through the end of the reporting period.
 - (f) Notifies the Supervisor not later than 21 days before the end of the reporting period if the Reported-on Officer desires an end-of period conference.
 - (g) Informs Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) directly by written communication (e.g. e-mail) if the original validated OER has not been received 90 days after the end of the reporting period. The correspondence shall include a return address, phone number, period of report, and rating chain names with phone numbers.

- (h) Ensures that all days of commissioned service are covered by OERs. If an OER is missing or a gap in coverage exists, informs the appropriate rating chain. The rating chain shall take necessary action to correct the discrepancy.
 - (i) Ensures that other than Coast Guard rating officials are provided a copy of these instructions, appropriate forms, and other literature provided by Commander (CG PSC-OPM) or (CG PSC-RPM-1).
 - (j) Reviews reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), and reference (j), Performance, Training and Education Manual, COMDTINST M1500.10 (series), and manages performance to ensure that OERs are not delayed when eligible for promotion or applying for advanced training.
 - (k) Assumes ultimate responsibility for managing own performance, notwithstanding the responsibilities assigned to others in the rating chain. This includes ensuring performance feedback is thorough, and that OERs and associated documentation are timely and accurate.
- (3) Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade).
All Reported-on Officers in these grades must request initial and end-of-period meetings with their Supervisors and must submit a summary of achievements and other aspects of performance prescribed in Article 5.A.2.c.(2)(b), 5.A.2.c.(2)(e), and 5.A.2.c.(2)(f) of this Manual. In cases of geographic separation, telephone or written exchange of information may suffice.

5.A.2.d. Supervisor

- (1) Designation.
 - (a) Normally the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.
 - (b) Coast Guard officers, officers of other U. S. Armed Forces, officers of Foreign Armed Services (who serve in a supervisory capacity for the Reported-on Officer), U. S. Public Health Service officers, and U. S. government civilian employees may serve as Supervisors. The supervisor of a reserve officer may be either an active duty or reserve officer or individual stated above. If the Supervisor is not a Coast Guard employee, specify which branch of service (i.e., USN, USA, USAF, DoD) in section 6a. of the Officer Evaluation Report, Form CG-5310.
 - (c) The Supervisor will normally be senior to the Reported-on Officer. However, in appropriate situations, the Supervisor may be designated, regardless of grade

relative to the Reported-on Officer.

- (d) When an officer responds to more than a single individual for different functions, the commanding officer shall appoint one individual to the position of Supervisor (to whom all secondary supervisors will provide evaluation input).
- (e) When a situation exists which requires concurrent reports, dual supervision may also exist. In such instances, different Supervisors may be appointed for each rating chain.

(2) Responsibilities. The Supervisor:

- (a) Evaluates the performance of the Reported-on Officer in the execution of duties.
- (b) Provides direction and guidance to the Reported-on Officer regarding specific duties and responsibilities.
- (c) Discusses at the beginning of the period, upon request, or when deemed necessary, the Reported-on Officer's duties and areas of emphasis. The optional or required OSF worksheet, or other format specified by the Supervisor, may be used as an aid.
- (d) Encourages the use of the optional/required OSF worksheet, or other convenient means, to note important aspects of the Reported-on Officer's performance during the reporting period. Significant events, problems, achievements, failures, or personal qualities should be noted.
- (e) Provides timely performance feedback to the Reported-on Officer upon that officer's request during the period, at the end of each reporting period and at such other times as the Supervisor deems appropriate.
- (f) Counsels the Reported-on Officer at the end of the reporting period if requested, or when deemed appropriate, regarding observed performance. Discusses duties and responsibilities for the subsequent reporting period and makes suggestions for improvement and development.
- (g) Finalizes the optional or required OSF worksheet, if used. (See Articles 5.A.6.d. and 5.A.6.e. of this Manual.)
- (h) Prepares the Supervisor's sections (2-6) of the OER. (See Article 5.A.4.c. of this Manual.)
- (i) Initiates an OER if the Reported-on Officer is unavailable, unable, or unwilling to perform in a timely manner. Forwards the OER, the OSF worksheet (if used or required), OER attachments, and any other relevant performance information to the Reporting Officer not later than 10 days after the end of the reporting period.

- (j) Provides the new Supervisor with a draft of OER sections (2-6) when the Supervisor changes during a reporting period. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation. It shall be prepared and signed by the departing Supervisor prior to departure.

5.A.2.e. Reporting Officer

(1) Designation.

- (a) The Reporting Officer is normally the supervisor of the Supervisor.
- (b) Coast Guard officers, officers of other U. S. Armed Forces, officers of Foreign Armed Services, U. S. Public Health Service officers, and U. S. government civilian employees may serve as Reporting Officers. The reporting officer of a reserve officer may be either an active duty or reserve officer or individual stated above. If Reporting Officer is not a Coast Guard employee, specify which branch of service (i.e., USN, USA, USAF, DoD) in section 11a. of the Officer Evaluation Report, Form CG-5310.
- (c) The Reporting Officer will normally be senior to the Reported-on Officer. Except for commanding officers, at least two year groups should normally separate these rating chain positions if they are of the same grade. Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) will handle exceptions to this policy on a case-by-case basis.
- (d) The Reporting Officer for an officer other than the commanding officer will normally be designated no higher than the unit's commanding officer.
- (e) The following personnel can be both Supervisor and Reporting Officer for their immediate subordinates:
 - [1] Any officer, LT or above, who serves as a Commanding Officer,
 - [2] Any civilian member of the Senior Executive Service (SES), or
 - [3] Any O-5 or above (includes non-Coast Guard officers provided the officer meets the criteria stipulated in Article 5.A.2.e.(1)(i) of this Manual).
- (f) Only a Coast Guard flag officer or Coast Guard SES may serve as both the Reporting Officer and Reviewer on the same OER.
- (g) Reporting Officers for captains shall be a Coast Guard flag officer or SES. An exception would be those assigned to the Permanent Commission Teaching Staff (PCTS) or outside the Coast Guard whose reporting officer is at least equivalent

to a Coast Guard flag officer or SES (e.g. White House, DHS, other services, etc.).

- (h) The Headquarters program manager having technical responsibility for the unit will be the Reporting Officer for commanding officers of Headquarters units.
- (i) The Reporting Officer for an officer (W2-O5) assigned to another Service's staff or mission will be the commanding officer or senior staff officer to whom the Reported-on Officer is assigned.
- (j) The Reporting Officer of officers under direct supervision of civilian employees outside the Coast Guard but within the (DHS) shall be designated by appropriate DHS directive.
- (k) The Headquarters program manager who exercises technical responsibility for the program will be the Reporting Officer for officers assigned to duty in civilian agencies other than DHS or in liaison service with other governments.
- (l) Any exceptions not specifically cited herein must be authorized by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1).

(2) Responsibilities. The Reporting Officer:

- (a) Bases evaluation on direct observation, the OSF or other information provided by the Supervisor, and other reliable reports and records.
- (b) Describes the demonstrated leadership ability and the overall potential of the Reported-on Officer for promotion and special assignment such as command. Prepares Reporting Officer sections of the OER. (See Article 5.A.4.c. of this Manual.)
- (c) Ensures the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations. The Reporting Officer shall return a report for correction or reconsideration, if the Supervisor's submission is found inconsistent with actual performance or unsubstantiated by narrative comments. The Reporting Officer shall not direct that an evaluation mark or comment be changed (unless the comment is prohibited under Article 5.A.4.f. of this Manual).
- (d) Forwards the completed OER to the Reviewer; returns the OSF, if used/required to the Reported-on Officer.
- (e) Initiates an OER if the Supervisor does not perform in a timely manner. Ensures the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.

- (f) Provides timely performance feedback to the Reported-on Officer at the end of each reporting period and at such other times as the reporting officer deems appropriate.
- (g) If the Reporting Officer changes and a complete OER is not required per Article 5.A.3.a. of this Manual, then the departing Reporting Officer shall provide the new Reporting Officer a draft of the applicable OER sections. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation, prepared and signed by the departing Reporting Officer.
- (h) An outgoing Reporting Officer shall provide a written report to the new Reporting Officer listing those officers for whom the outgoing Reporting Officer is preparing complete OERs and for whom signed OER drafts have been provided.

5.A.2.f. Reviewer

(1) Designation.

- (a) The Reviewer is normally the Supervisor of the Reporting Officer. While the Supervisor and Reporting Officer are specific individuals, the Reviewer is a position designated by competent authority, which in certain circumstances may be junior to the Reporting Officer. The officer occupying that position has a definite OES administrative function and may perform an evaluative function. If Reviewer comments are mandatory under Articles 5.A.2.f.(2)(b). and 5.A.4.d. of this Manual, the Reviewer must be senior to the Reported-on Officer.
- (b) Only Coast Guard commissioned officers, the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11), or Coast Guard SES member, may serve as Reviewer.
- (c) A commanding officer may serve as Reviewer for a Reported-on Officer if that commanding officer is not otherwise in the Reported-on Officer's rating chain. (For any officer at a major command whose position is lower than the department head level, the rating chain should be structured so that the Reviewer is no higher than the commanding officer.) In certain situations (e.g., CO on extended TDY), Executive Officers and Deputy Commanders serving in an "Acting" capacity may sign as reviewer if not otherwise in the rating chain. "For" signatures are not authorized under any circumstances.
- (d) Only Coast Guard flag officers or SES members may serve as Reviewers on OERs for which they have also been Reporting Officers. When a flag officer or SES member serves as both Supervisor and Reporting Officer on the same OER, the following will serve as Reviewer:

SUPERVISOR/REPORTING OFFICER	REVIEWER
Headquarters Deputy or Assistant	Vice Commandant
Area Commander	Vice Commandant
FORCECOM	Vice Commandant
District Commander	Area Commander
All Others	Vice Commandant

- (e) No one may serve as Supervisor, Reporting Officer, and Reviewer on the same OER except for the Commandant (CCG); and Vice Commandant (VCG) (must be a four star admiral) and Commandant (CG-094); the latter may sign as Supervisor, Reporting Officer, and Reviewer for the OER of the Coast Guard’s Chief Trial Judge.
 - (f) The responsible program manager will be the Reviewer for reports of officers assigned to other Services or agencies as liaison officers. If no appropriate program manager is obvious, Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) will identify, or act, as a Reviewer.
 - (g) The Reviewer of a Captain’s OER must be a flag officer or Coast Guard SES member.
 - (h) The Coast Guard Judge Advocate General shall be the reviewer for all Reported-on Officers in specialty who perform duties as a military judge during the period of report and for those Reported-on Officers in legal billets without a Judge Advocate in the rating chain as designated by the unit CO (e.g., District Staff Judge Advocates). For Reported-on Officers out of specialty who perform collateral duties as a military judge during the period of report, the Reported-on Officer’s unit CO designates the rating chain. However, the Judge Advocate General shall provide an additional Reviewer Comments, Form CG-5315 (series), to document judiciary performance only. No comparison scale mark shall be completed. For Reported-on Officers out of specialty who do not perform any collateral duties as a military judge during the period of report, the Judge Advocate General will not provide an additional Reviewer Comments, Form CG-5315 (series).
- (2) Responsibilities. The Reviewer:
- (a) Ensures the OER reflects a reasonably consistent picture of the Reported-on Officer’s performance and potential.
 - (b) Adds comments as necessary, using Reviewer Comments, Form CG-5315 (series), which further addresses the performance and/or potential of the Reported-on Officer not otherwise provided by the Supervisor or Reporting Officer. For any officer whose Reporting Officer is not a Coast Guard commissioned officer, member of the Coast Guard SES, or a USPHS flag officer

serving with the Coast Guard, Commandant (CG-11), the Reviewer shall describe the officer's "Potential" and include an additional "Comparison Scale" or "Rating Scale" mark. The comparison scale is not to be completed unless the Reviewer comments are mandatory. Local reproductions of Reviewer Comments, Form CG-5315 (series), may be used; see Article 5.A.4.d. of this Manual for circumstances when Reviewer comments are mandatory or optional.

- (c) Ensures the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES and meet all submission schedules. The Reviewer shall return an OER to the Reporting Officer to correct errors, omissions, or inconsistencies between the numerical evaluation and written comments. However, the Reviewer shall not direct in what manner an evaluation mark or comment be changed (unless the comment is prohibited under Article 5.A.4.f. of this Manual).
- (d) Counsels Reporting Officers whose evaluation habits deviate significantly from the prescribed procedures. Deficiencies in OES performance on the part of Reporting Officers and Supervisors should be noted for performance feedback and considered in the respective officers' OERs.
- (e) Expedites the reviewed report in a reasonable time to permit the unit OER Administrator to ensure the OER is received by Commander (CG PSC-OPM-3) or (CG PSC-RPM) 45 days after the end of the reporting period.
- (f) Ensures CWO to O-4 ROOs review and sign OER.
- (g) Ensures an OER returned by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) is forwarded to the responsible Reporting Officer for timely correction.

5.A.2.g. Rating Chain Exceptions

- (1) Designating Substitutes in the Rating Chain. In instances where a Supervisor, Reporting Officer, or Reviewer is unavailable or disqualified to carry out their rating chain responsibilities, the commanding officer or the next senior officer in the chain of command shall designate an appropriate substitute who is capable of evaluating the Reported-on Officer. Other members in the rating chain may be adjusted and designated, as appropriate. Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) shall be advised in writing of the designation(s). The timing of the substitution may preclude full use of the OSF; however, that fact alone does not invalidate the OER.
- (2) Definitions. As used within this subparagraph:
 - (a) "Unavailable" includes illness, injury, death, prolonged absence, transfer, separation from the Service, retirement, or any other situation which prevents or substantially hinders the Supervisor, Reporting Officer, or Reviewer from properly carrying out their rating chain responsibilities.

- (b) “Disqualified” includes relief for cause due to misconduct or unsatisfactory performance, being an interested party to an investigation or court of inquiry, or any other situation in which a personal interest or conflict on the part of the Supervisor, Reporting Officer, or Reviewer raises a substantial question as to whether the Reported-on Officer will receive a fair, accurate evaluation.
- (c) If not already determined by the commanding officer, it is incumbent on the Reported-on Officer to identify to the next senior officer in the chain-of-command that an exception to the designated rating chain may exist. This issue should be raised by the Reported-on Officer during the reporting period or within 30 days after the end of the reporting period.

5.A.2.h. OER Administrator

Commander (CG PSC) no longer requires designation of an OER Administrator. Units and their assigned rating chains are responsible for managing the timely submission of OERs to Commander (CG PSC). Units should consider designating a collateral duty unit OER Administrator. (See Article 5.A.4.e. of this Manual.)

5.A.2.i. Commander, Coast Guard Personnel Service Center

- (1) Designation. Commander (CG PSC) has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1). Servicing of an officer’s personnel record is accomplished by Commander (CG PSC-PSD-MR).
- (2) Responsibilities. Reserve Personnel Management Division (CG PSC-RPM-1) or Officer Evaluations Branch (CG PSC-OPM-3):
 - (a) Processes OERs into Direct Access, an automated tracking system and provides rating chain notices of delinquent OER submissions.
 - (b) Ensures all OERs go through a quality review. Corrects OERs containing minor administrative errors or as directed by judicial or administrative adjudications. In special circumstances, Chief (OPM-3) or (RPM-1) may serve as reviewer on an OER.
 - (c) Provides final quality control review of OERs containing substantive errors, including “restricted” remarks as outlined in Article 5.A.4.f. of this Manual. OERs requiring significant correction or redaction will be returned to the appropriate member of the rating chain. However, in certain situations, returning an OER through the rating chain could lead to unacceptable delays and prejudice a Reported-on Officer who is being considered by a board or panel. In order to achieve a balance between accuracy and timeliness, certain corrective measures may be taken to expedite validation of OERs, Reviewer comments, OER Replies, and Addenda.

- (d) Submits validated original OER to Commander (CG PSC-PSD-MR) for insertion into the member's CG PSC Electronically Imaged Personnel Data Record, EI PDR.
 - (e) Develops and implements system changes as necessary to maintain a healthy system.
 - (f) Maintains all applicable instructions and forms and recommends policy governing the OES.
 - (g) Responds to individual and command requests related to OES policy.
 - (h) Provides training on the OES, subject to resource availability.
 - (i) Conducts the required training for civilian employees assigned rating chain responsibilities.
- (3) Responsibilities. Records Branch (CG PSC-PSD-MR):
- (a) Maintains officer records system in accordance with reference (r), Information and Life Cycle Management Manual, COMDTINST M5212.12 (series) and DoD approved retentions.
 - (b) Responds to individual inquiries and requests related to those records, including missing copies of OERs.
 - (c) Returns validated OER to the Reported-on Officer after insertion into the member's CG PSC EI PDR.
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5.A.3. Submission Schedule

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

5.A.3.a. Regular OERs

- (1) Annual, Semiannual, and Biennial OERs. Annual or semiannual (Figure 5.A.1) and Biennial (on even numbered years) (Figure 5.A.2) OERs are due as of the last day of the month as follows:

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

- (a) A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports or 12 months for semiannual reports.
- (b) OERs shall not be delayed for officers above and in zone for promotion as specified by ALCGOFF promulgated by Commander (CG PSC). Reported-on Officers with an approved retirement or voluntary resignation letter on file who do not desire to submit a regular OER must obtain an OER waiver. See Article 5.A.3.b. of this Manual for waiver requirements and Article 5.A.3.a.(5) of this Manual for continuity OER requirements.
- (c) Annual or semiannual OER submission is optional (waivers not required) if:
 - [1] A regular OER (or a special OER that counts for continuity) was submitted within 182 days prior to the scheduled submission date for annual reports or 92 days for semiannual reports.
 - [2] A regular OER will be submitted within 182 days following the scheduled due date for annual reports or 92 days for semiannual reports (e.g. PCS) permitted all other submission requirements are met.
 - [3] Newly commissioned officers who have been observed at their first unit less than 120 days may delay the submission of their regular OER provided the next anticipated date of submission meets the requirements under Article 5.A.3.a.(1)(a). of this Manual.

(d) Reserve biennial or annual OER submission is optional (waivers not required) if:

- [1] A regular OER (or a special or ADOS OER which counts for continuity) was submitted within 182 days prior to the scheduled submission date.
- [2] A regular OER will be submitted within the following 182 days of the scheduled due date. Exception: Those officers above and in zone for promotion as specified by ALCGPSC promulgated by Commander (CG PSC-RPM) shall not delay their biennial or annual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only in accordance with Article 5.A.3.a.(5)(b) of this Manual. For those officers who meet this criteria, a waiver must be obtained as provided in Article 5.A.3.b. of this Manual.
- [3] The Reported-on Officer under PCS orders has been observed at the new unit for less than 182 days. The observations shall be recorded in the next regular OER.

Figure 5.A.1. OER for Annual/Semiannual Submission

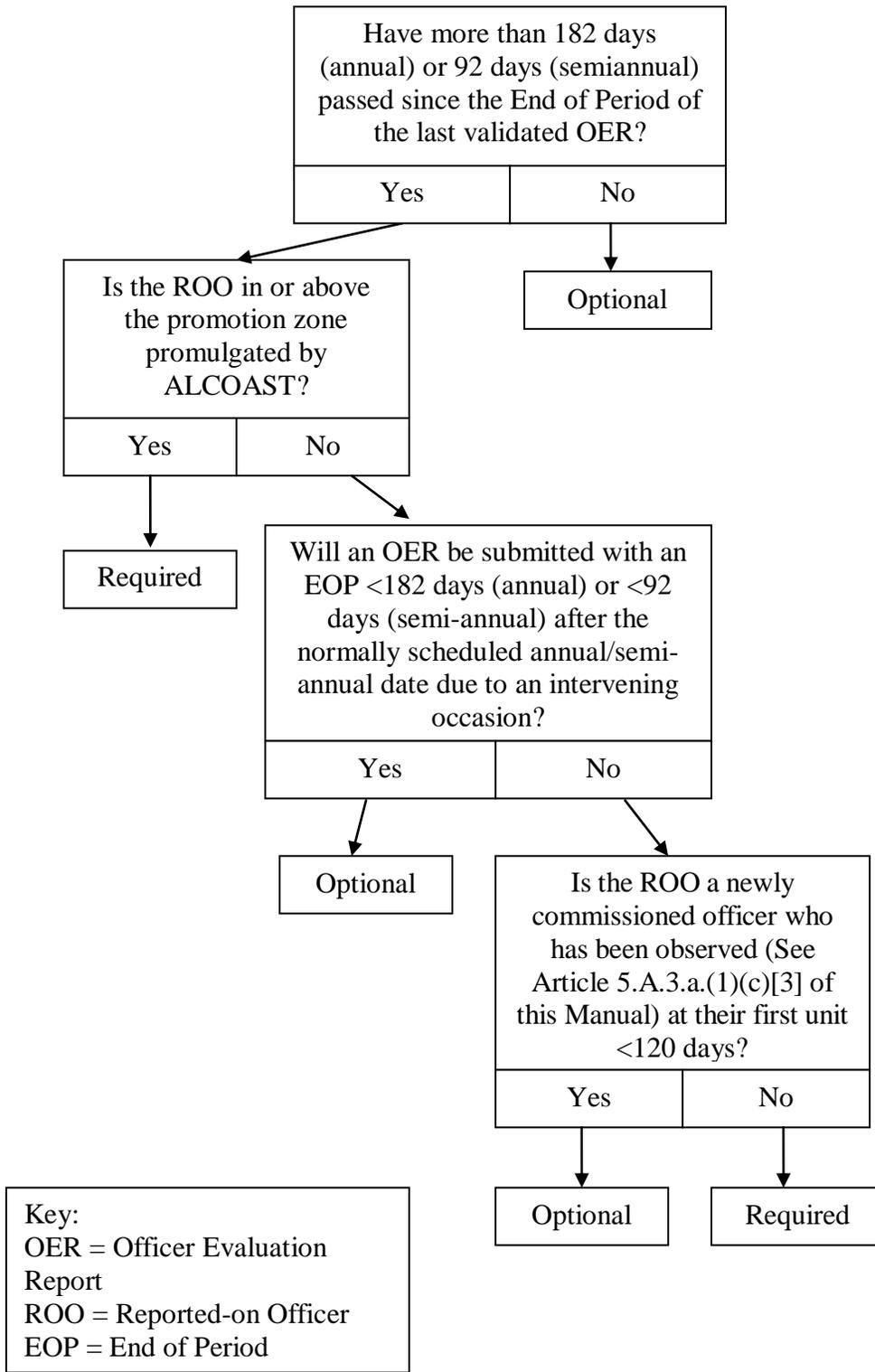
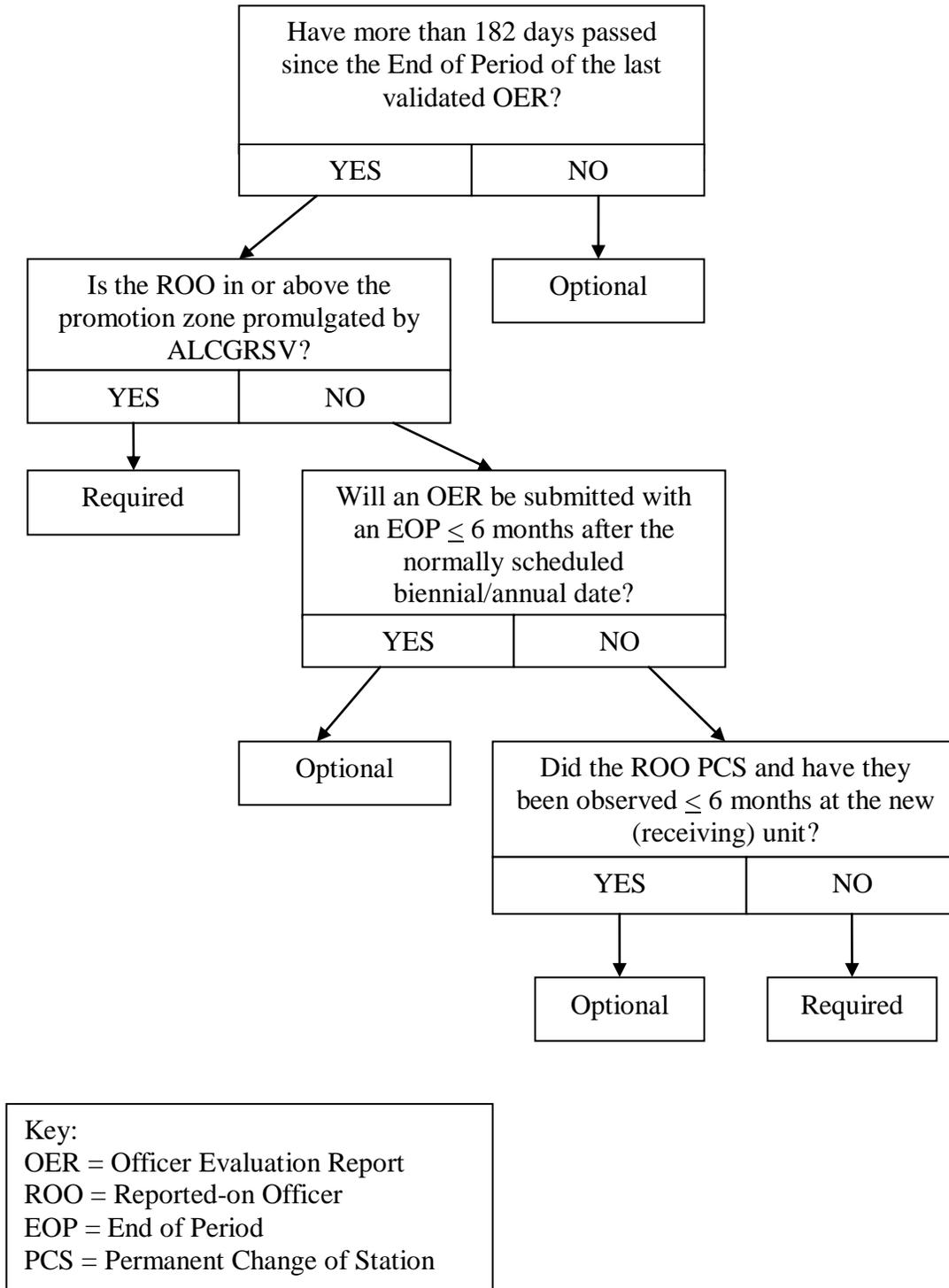


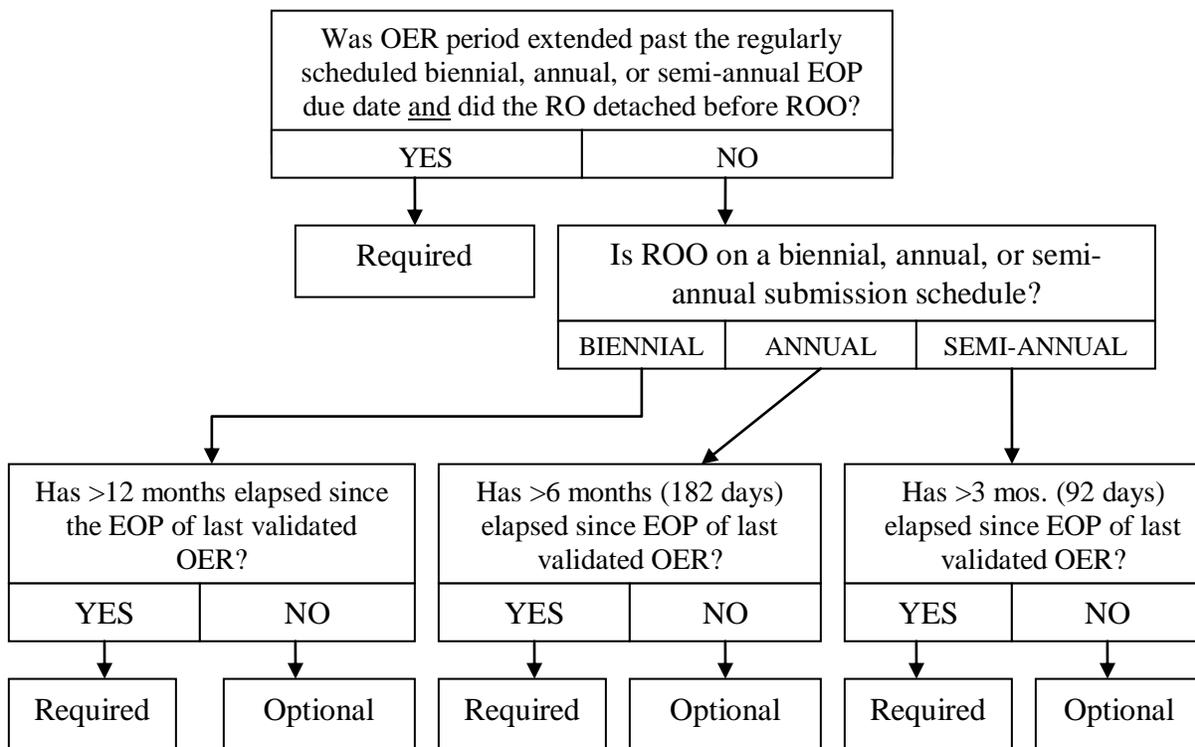
Figure 5.A.2. Reserve OER for Biennial/Annual Submission



(2) Detachment or change of the Reporting Officer (Figure 5.A.3.):

- (a) OERs for officers on a biennial submission schedule are required if more than 12 months have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- (b) OERs for officers on an annual submission schedule are required if more than six months (i.e., 182 days) have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- (c) OERs for officers on a semiannual submission schedule are required if more than three months (i.e., 92 days) have elapsed since the ending date of the last regular OER.
- (d) OER submission is optional in other situations.

Figure 5.A.3. OER for Detachment or Change of Reporting Officer

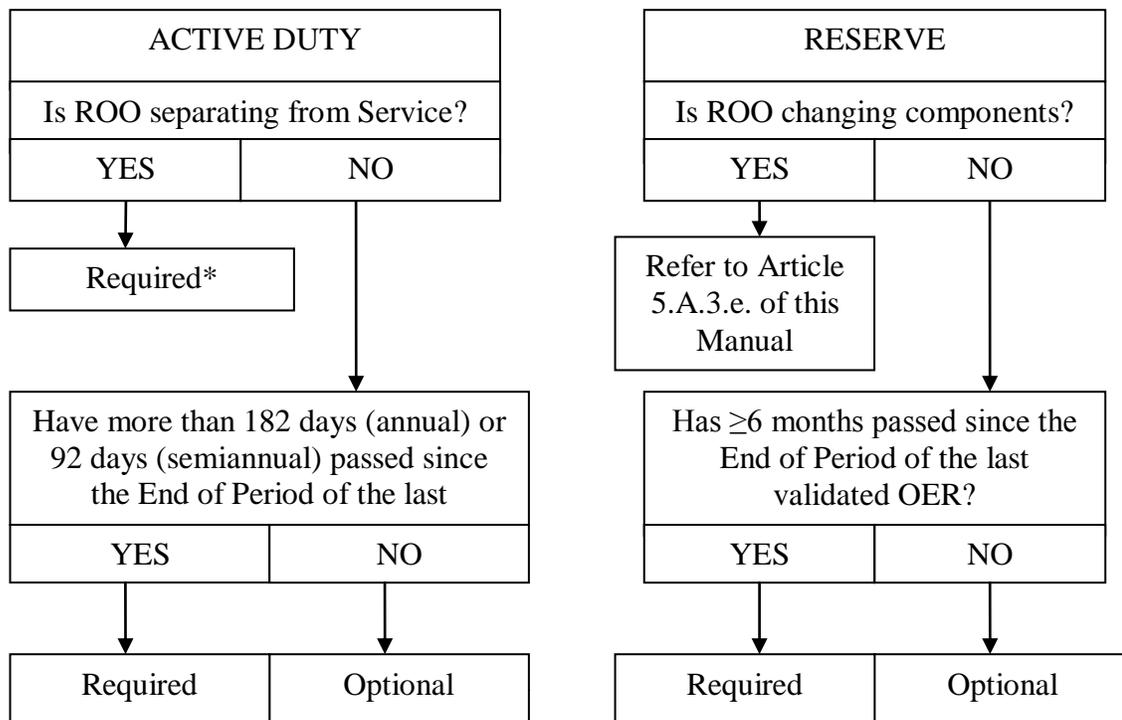


Key:
 RO = Reporting Officer
 ROO = Reported-on Officer
 EOP = End of period

(3) Detachment on PCS orders, or separation from the Service of the Reported-on Officer (Figure 5.A.4.):

- (a) OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or the last 6 months for reserve officers.
- (b) For officers separating from the Service, an OER is mandatory regardless of the length of period for the report. The period of the report shall end on the final day of active service, including days on terminal leave.

Figure 5.A.4. OER for 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.

(4) Promotion of Officers (Figure 5.A.5.):

- (a) Captains selected for promotion or frocked to flag grade must submit an OER with their last day serving as an O6 as their end of period date. With the concurrence of their rating chain and the Reported-on Officer, a continuity type OER is authorized in accordance with Article 5.A.3.a.(5) of this Manual.
- (b) Promotion OERs are required for promotion to captain and for CWO to LT. However, if an OER was completed within 182 days of the promotion date for regular officers or within 6 months for reserve officers, the Reported-on Officer need not submit a promotion OER or a waiver request.
- (c) Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this submission schedule results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle) or greater than 12 months (semiannual cycle). The Reported-on Officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion. All articles pertaining to submission schedules apply (e.g. RO detachment, PCS).
- (d) Officers promoted under the CWO to LT program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CG PSC-OPM-3) approval.
- (e) Officers who have been frocked (excluding captains serving as flag officers) shall follow the schedule and exceptions described above and in Article 5.A.3. of this Manual for their actual pay grade, not for the grade to which they have been frocked.

Figure 5.A.5. OER for Promotion of Reported-on Officer

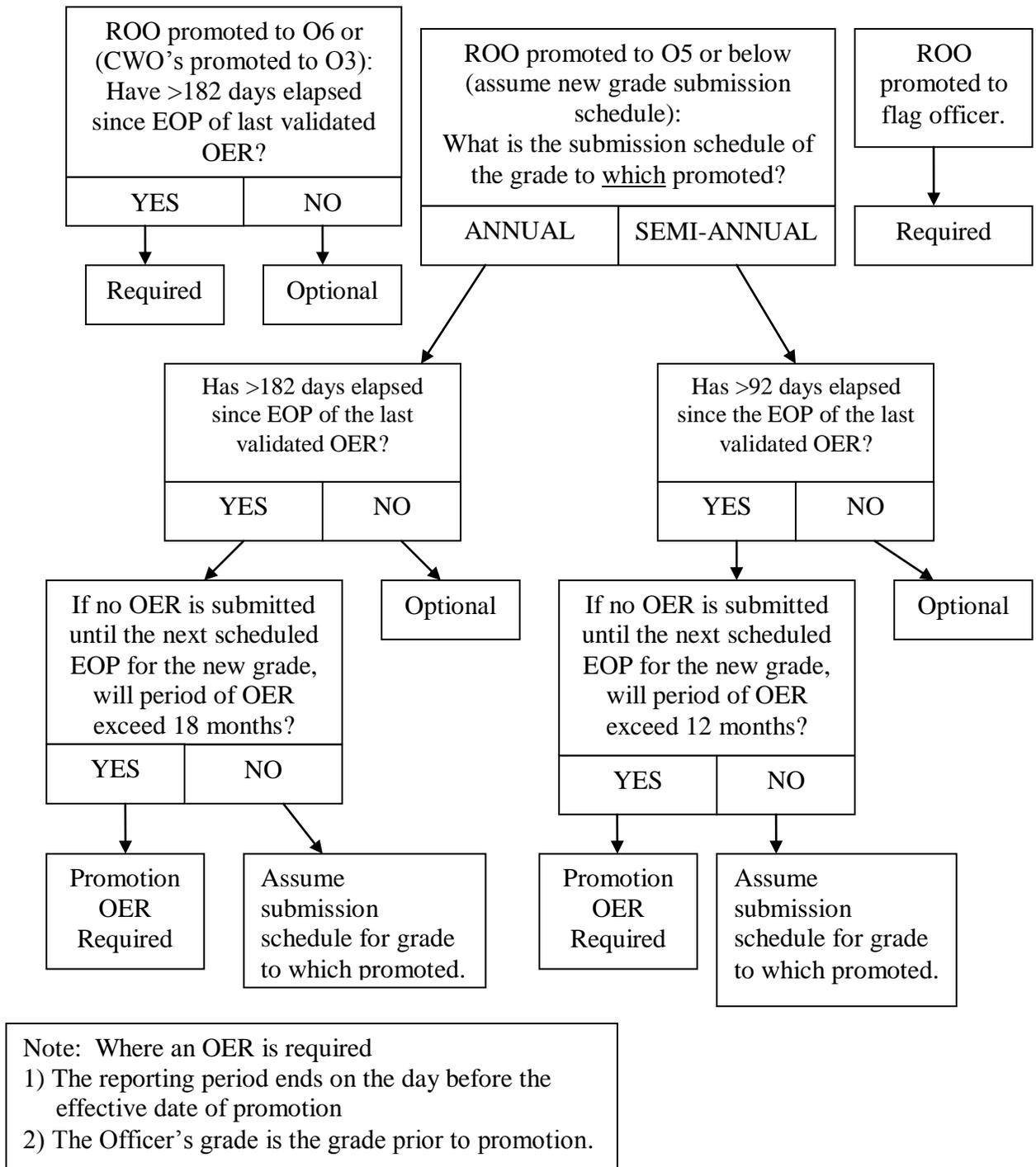
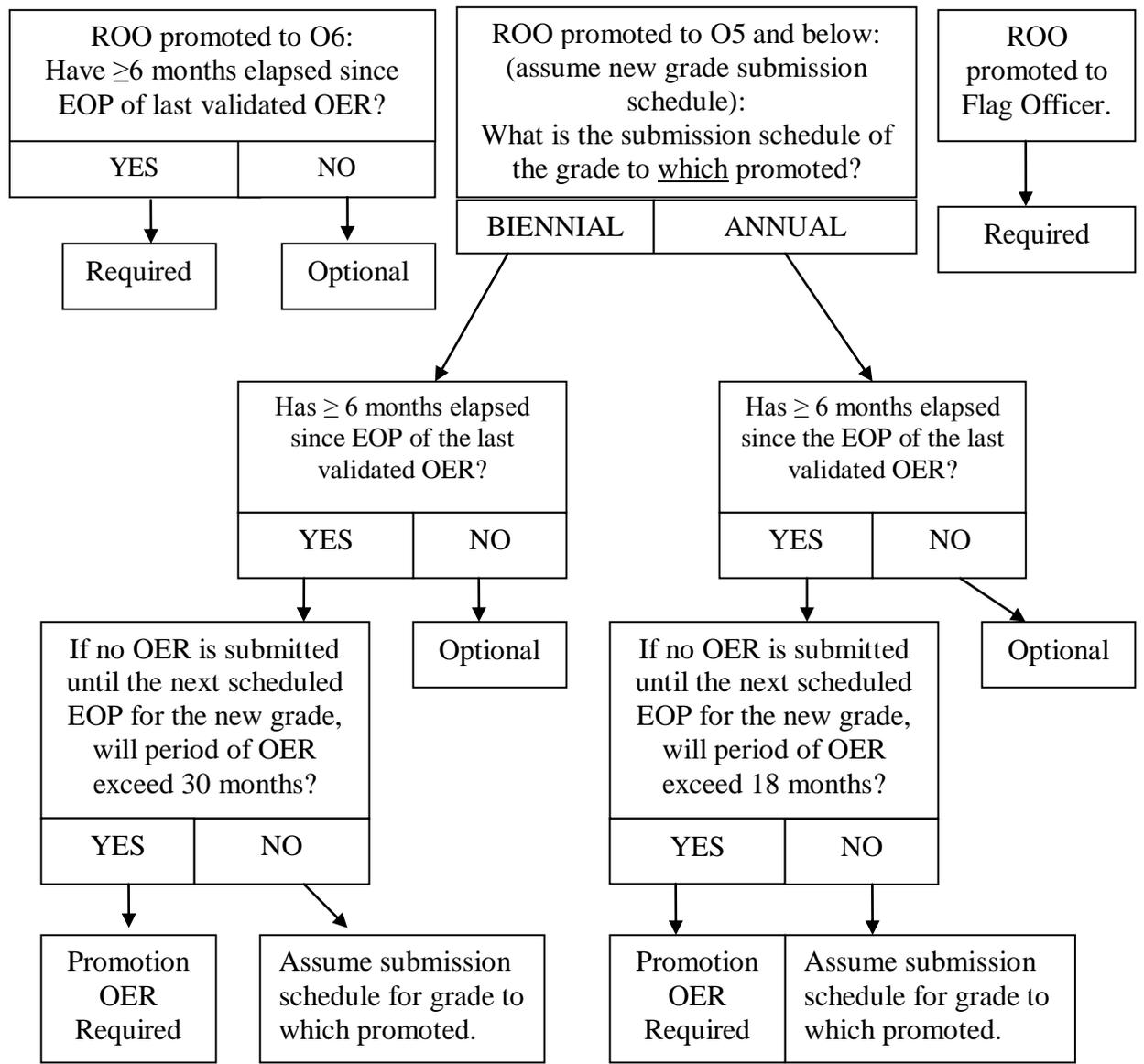


Figure 5.A.6. Reserve OER for Promotion of IDPL Reported-on Officer



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.

- (5) Reports for Continuity Purposes. (Figure 5.A.7) (may be referred to as a Continuity OER). Such reports may be submitted in cases where an OER is required by these instructions, but full documentation is impractical, impossible to obtain, or does not meet officer evaluation system goals.
- (a) Reserve Specific. Commander (CG PSC-RPM) shall complete a continuity OER for officers assigned to the Individual Ready Reserve (IRR), or the Standby Reserve (Active Status). The OER shall encompass the entire period the officer was in the IRR. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date.
- [1] Commander (CG PSC-RPM-1) shall complete or delegate the completion of OER Sections 1, 2, 13, and prepare Section 11, "Reporting Officer Authentication," for Commander (CG PSC-RPM-1) signature. Commander (CG PSC-RPM-1) may delegate the Reporting Officer signature authority to competently trained staff. Section 6 (Supervisor Authentication) and Section 12 (Reviewer Authentication) are not used for IRR OERs.
- [2] Section 2, "Description of Duties," should read "Submitted for continuity purposes only in accordance with Article 5.A.3.a.(5)(a) of this Manual. ROO is in IRR." The "Not Observed" circle should be filled for all marks assigned with Section 9 (Comparison Scale) left blank.
- Note: There is no requirement for officers on the Inactive Status List (ISL) to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.
- (b) All Other: A continuity OER may be submitted under the following conditions:
- [1] The reporting period is 92 days or fewer for semiannual submissions or for reserve, is 6 months or fewer and the Supervisor and Reporting Officer have little or no information regarding the Reported-on Officer's performance or qualities, e.g., separating from the service; Article 5.A.3.a.(3)(b) of this Manual.
- [2] An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. If in or above the zone, see Article 5.A.3.b. of this Manual. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.
- [3] An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last

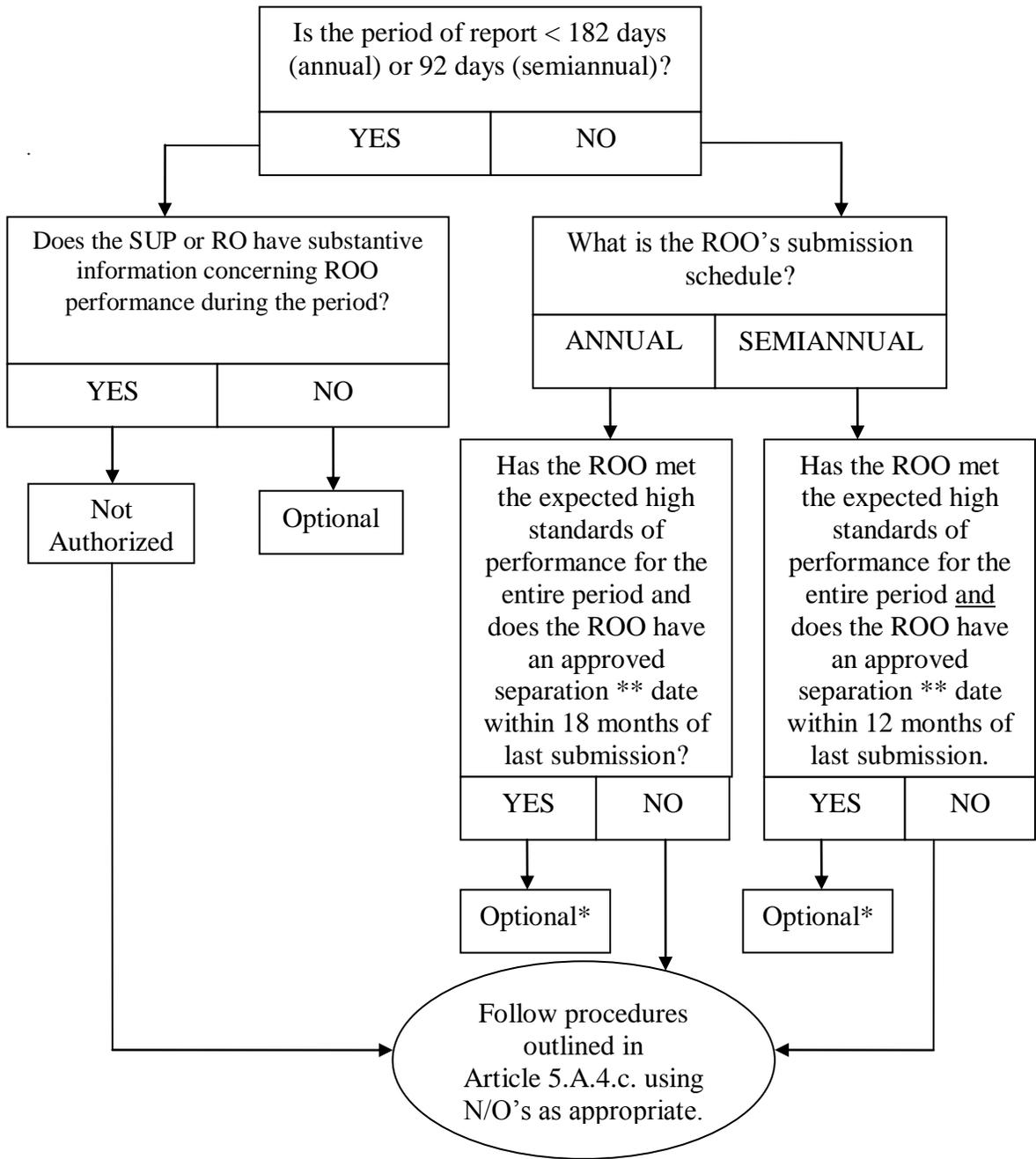
regular OER submission and has met the expected high standard of performance during the period. If in or above zone, see Article 5.A.3.b. of this Manual. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

- [4] An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.
- [5] Reserve CWO4 Only. Reserve CWO4s who have at least one fully documented OER, validated and in the Headquarters personnel record, at the CWO4 grade and continue to meet the expected high standard of performance may submit continuity OERs thereafter. In addition to procedures outlined in Article 5.A.3.a.(5)(d). of this Manual, Section 2 of the OER shall include the following statements, “OER is submitted under Article 5.A.3.a.(5)(b)[5]. ROO concurs with decision to submit this continuity OER.” Account for IDT Drills, ADT and ADOS days in Section 2 of the OER. Exception: CWO4s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.
- (c) Judicial and Administrative Adjudications. An OER for continuity purposes may be required by Commander (CG PSC-OPM) or (CG PSC-RPM-1) to implement judicial and administrative adjudications.
- (d) Continuity OER Process. When submitting continuity OER, the Reported-on Officer shall complete Sections 1 and 13. The designated Supervisor shall briefly describe the Reported-on Officer’s responsibilities in Section 2 and state the reason the OER is submitted for continuity purposes, e.g., “Submitted IAW Article 5.A.3.a.(5)(b), member separating on 01 July 2010.” All other evaluation areas, including section 9, shall be left blank with “NOT OBSERVED” marked for each dimension.
- (e) Appropriate Use of Continuity Purposes Only OER. In determining whether a “continuity purposes only” OER is appropriate for officers being separated, consideration should be given to the Reported-on-Officer’s opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the Reported-on Officer’s ability to later obtain a reserve commission and compete at future reserve officer selection boards. OERs are an essential tool in personnel management decisions including assignments, therefore all officers are strongly encouraged to consider the impact of submitting continuity OERs. Thus, for officers departing the service for reasons other than retirement, the Supervisor ensures that the Reported-on Officer acknowledges reviewing this paragraph. The Supervisor shall also include the following language in Section 2 of the report: “Officer states that he/ she has reviewed the

provisions of Article 5.A.3.a.(5) of this Manual, and concurs with the decision to submit this ‘continuity purposes only’ OER.” Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the period the OER covers, the procedures of Article 5.A.4.c. of this Manual apply.

- (f) Waivers. Requests for waivers of the time restrictions of this Article should be addressed to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) and are only applicable to retirement, voluntary separations, or discharges per Article 5.A.3.b. of this Manual. These waivers may be appropriate if intervening occasions, e.g., change of Reporting Officer, would otherwise necessitate successive continuity reports.
- (g) Retired Recall Officers. Eligible officers who transition directly to a retired recall status following retirement are required to submit a regular OER rather than an OER for continuity purposes incident to leaving active duty status.

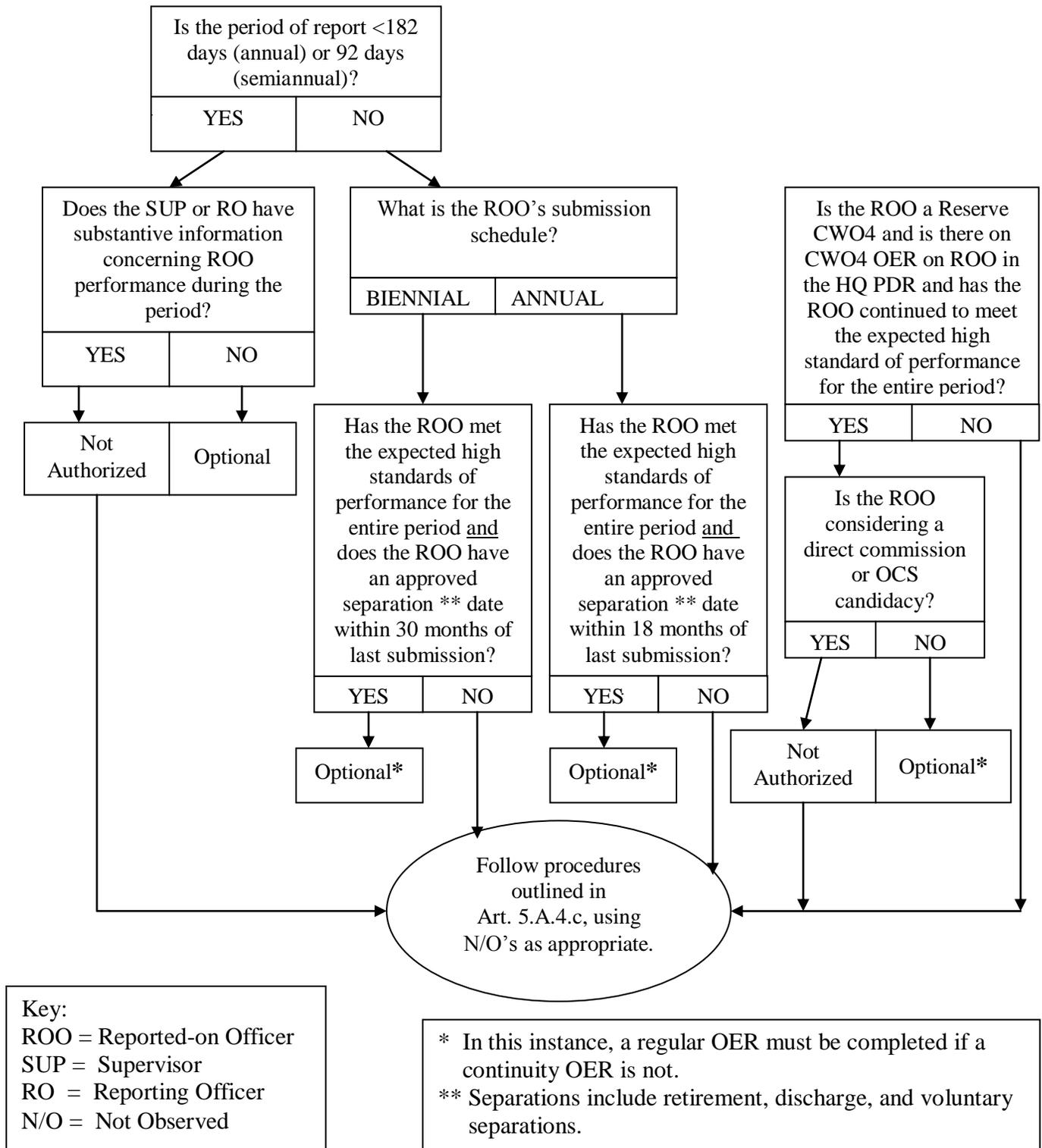
Figure 5.A.7. OER for Continuity Purposes



Key:
 ROO = Reported-on Officer
 SUP = Supervisor
 RO = Reporting Officer

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

Figure 5.A.8. Reserve OER for continuity Purposes



5.A.3.b. OER Waivers

- (1) Waiver Submission. Written requests (email is acceptable) for waivers to the submission schedule, including deadlines for derogatory OER addenda and OER replies, shall be submitted by the Reported-on Officer no later than 45 days prior to the scheduled end of period to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) via the rating chain. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER. Waivers to the normal submission schedule will not be granted without indicating extraordinary circumstances.
- (2) Information to Provide in Waiver Request. The Reported-on Officer should identify his or her EMPLID, phone number, requested period of report, and specific reason(s) for waiver request. If they are in or above zone for promotion, and their intent is to submit a continuity OER upon their retirement or separation, a statement that they understand their record will be incomplete before the board must be included.
- (3) Waiver to Coincide with Retirement or Separation. A waiver shall be obtained from Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) to extend an OER period to coincide with retirement or separation (voluntary resignations and discharges only) beyond an intervening submission occasion (e.g., promotion board, detachment, or change of RO).

5.A.3.c. Exception OERs

- (1) Special OERs. The Commandant, commanding officers, higher authority within the chain of command and Reporting Officers may direct these reports. The circumstances for the Special OER must relate to one of the situations described in subsections a. through e. The authorizing article(s) listed below should be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted under Article 5.A.3.c.(1)(--) due to ..."]. Special OERs present unique preparation problems for members of the rating chain. Therefore, preparers are strongly encouraged to contact Commander (CG PSC-RPM) or (CG PSC-OPM-3) for guidance prior to submitting these exception reports. Special OERs should be completed by the rating chain and received by Commander (CG PSC-OPM) no later than 45 days (if a regular submission) after the end of the period or 45 days after the OER has been initiated per Articles 5.A.3.c.(1)(a) through 5.A.3.c.(1)(e) below.
 - (a) Subsequent to Below Standard Performance. A special OER may be completed to document performance below standard if deferring the report of performance until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection, retention, or reassignment. This report should not normally reflect performance reportable under Article 5.A.3.c.(1)(b) of this Manual. If an individual has been removed from primary duties as a result of conduct or performance which is below standard (other than

relief for cause as prescribed by Article 1.F. of reference (p), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)), the OER will be derogatory and shall follow Article 5.A.4.h. of this Manual. If an early transfer from unit or a position change is required, a special OER must be submitted before the Reported-on Officer is considered for reassignment. Depending on the circumstances, the OER may count for continuity.

- (b) Subsequent to Disciplinary Action. A special OER is required after an officer is found guilty of a criminal offense and the conduct relates to the Reported-on Officer's performance or any other matter on which an officer may be evaluated, Article 1.B.4.b. of reference (q), Discipline and Conduct, COMDTINST M1600.2 (series). A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a Special OER shall be prepared because the evidence established that the officer was criminally culpable. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved. This OER does not count for continuity.

[1] The reporting period for this special report will be the time frame during which the officer's conduct prompting the report occurred. The report shall clearly state:

- [a] The nature of the proceeding prompting the report and the result of the proceeding, e.g. criminal conviction, non-judicial punishment, or final reviewing authority's action directing a special OER due to criminal culpability,
- [b] Any punishment imposed as a result of criminal conviction or non-judicial punishment, and
- [c] Other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation shall be limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which is not evaluated shall be marked "not observed." A Section 9 comparison or rating scale mark and Section 10 comments on the officer's potential are required.

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

- (c) For Consideration by Selection Panels or Boards. Special OERs may be submitted for officers being considered by selection panels or selection boards for promotion, extension, or continuation. The period of report must be at least 92 days for a semiannual schedule and 182 days for an annual submission schedule and the OER must arrive at Commander (CG PSC) not later than 45 days before the board/panel convening date. Reported-on Officers (reserve only) who are on a biennial schedule and are in zone for promotion on the IDPL during an odd numbered calendar year shall complete a Special OER for that year to document all performance since the last regular OER for board consideration. These OERs shall not be delayed past the normal submission month (e.g. March for CDRs, April for LCDRs). Extensions will not be granted. This OER counts for continuity.
 - (d) To Document Significant Historical Performance. Special OERs may be submitted to document significant historical performance or behavior of substance and consequence which were unknown when the regular OER was prepared and submitted. This report should not normally reflect performance reportable under Article 5.A.3.c.(1)(b) of this Manual. The OER should address only the performance dimensions relevant to the special OER since all other performance dimensions will have been addressed in the regular OER. The special OER should be initiated by the original rating chain unless they are unavailable or disqualified. Article 5.A.2.g. of this Manual applies. The Reviewer must be a flag officer. This OER does not count for continuity.
 - (e) Miscellaneous. When specifically directed by another article in this manual, e.g., Article 1.F. of reference (p), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series), Relief for Cause/Removal from Primary Duties. This OER may count for continuity, depending upon the circumstances which prompt its submission.
- (2) Concurrent OERs. A concurrent OER is an optional OER submitted at the discretion of the TDY command in addition to a regular or special OER and thus does not count for continuity. A concurrent OER must be for a period of at least 60 days. The unit to which the Reported-on Officer is permanently attached is always responsible for ensuring that continuity is maintained with either regular or special OERs. The permanent unit's OER is never considered a concurrent report. Concurrent reports may be submitted only when the officer is:
- (a) Filling separate or distinct billets or command functions under different commanding officers.
 - (b) Filling a billet for which technical control and administrative control are separated, such as senior contracting officers.
 - (c) Commanding a unit for which operational control and administrative control are separated, e.g., units assigned to International Ice Patrol, Deep Freeze Operations,

etc.

- (d) Commanding a unit with divided operational control.
- (e) Performing temporary duty (TDY) away from a permanent station while being observed by a senior officer other than the regular Reporting Officer, e.g., senior aviator deployed aboard a Coast Guard icebreaker. In this case, the concurrent report normally will be written upon the detachment of the TDY officer and cover only the period of temporary duty.

5.A.3.d. Evaluation of Performance While Recalled to Active Duty from Retired Status

- (1) Background. Because the personnel management goals (promotion, assignment, career development) of the OES don't apply to officers who are recalled to active duty from retired status, there is no mandatory requirement to submit an OER for these officers.
- (2) When Significant Information Exists. Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the retired recall period, a regular OER may be submitted and the procedures outlined in Article 5.A.4.c. of this Manual apply. Such information may be useful for future retired recall decisions regarding the officer. If the decision is made to submit a regular OER for the retired recall period, the following annotation should be made in Section 2 of the OER: "Submitted in accordance with Article 5.A.3.d."
- (3) Implications in the Event a Retired Recall Promotion Board is Convened. If service need requires that a retired recall promotion board be convened, eligible officers who declined to submit an optional OER for a previous retired recall period are not permitted to resurrect that exercised option to retroactively submit OERs for consideration by the board.
- (4) Special OER. If circumstances during the retired recall period warrant, a special OER may be submitted if the criteria of Article 5.A.3.c.(1) of this Manual are met.

5.A.3.e. Reserve Specific OERs

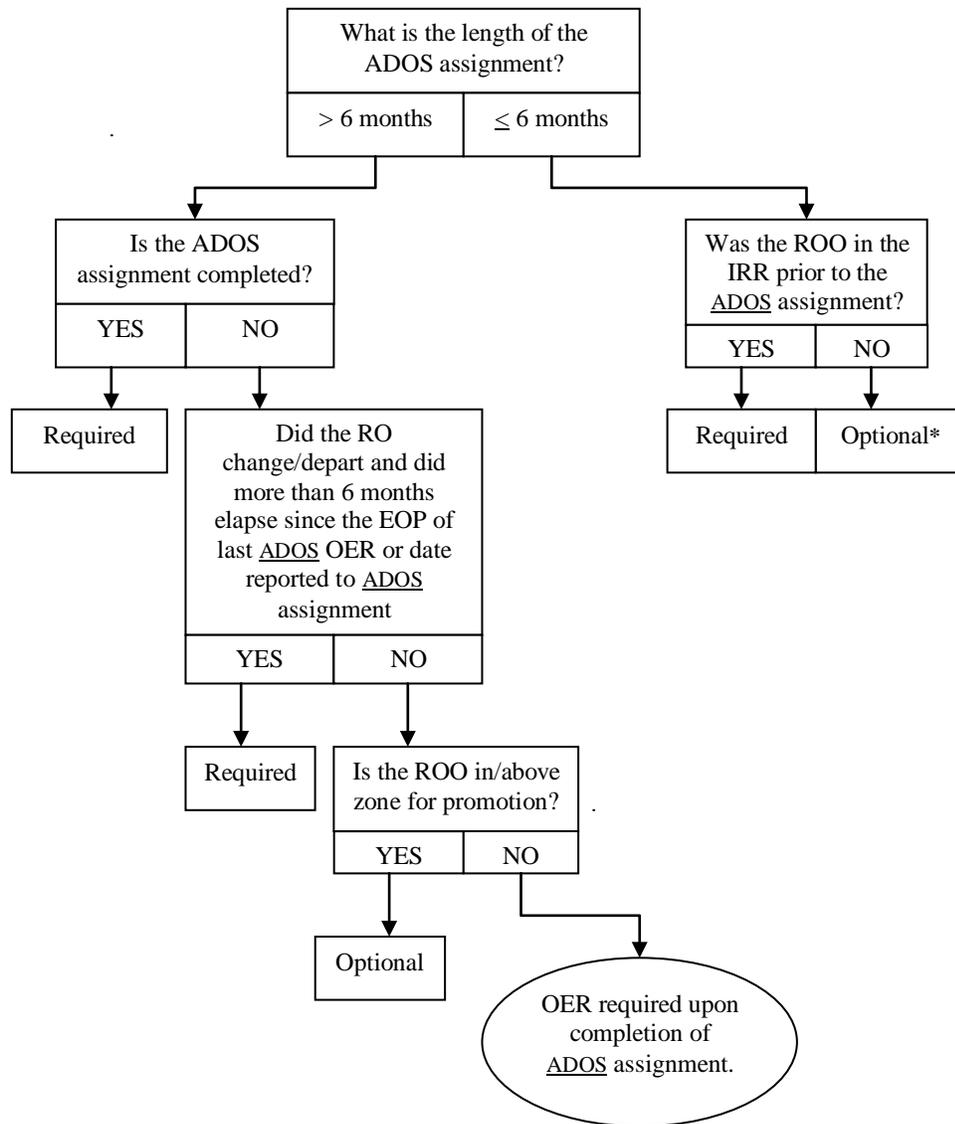
- (1) Active Duty for Operational Support (ADOS): This section describes Reserve-specific OER submission rules for officers who are on ADOS in support of the Active Component (-AC) or Reserve Component (-RC).
 - (a) Short-Term ADOS (Periods of 180 Days or less). If the ADOS is performed at the Reported-on Officer's permanent IDT/ADT unit, the ADOS performance shall be included in the Reported-On Officer's regular IDPL OER(s). If the Reported-on Officer performs the ADOS at a unit other than the permanent IDT/ADT unit and the ADOS is for a period of at least 60 consecutive days, then Article

- 5.A.3.c.(2)(e) of this Manual concerning temporary duty (TDY) applies and a concurrent OER shall be submitted. If the Reported-On Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the ADOS assignment, then in all cases (for short-term ADOS periods of any length), a concurrent OER shall be completed by the ADOS rating chain for the period of ADOS only.
- (b) Long-Term ADOS (Periods of 181 Days or Greater). If the ADOS orders are for 181 days or greater, a Reserve Officer is removed from his or her SELRES (or IRR) assignment for the duration of the active duty and ADPL submission schedules shall apply. If the Reported-on Officer performs the long-term ADOS at a unit other than the previous SELRES/IRR unit (or previous ADOS unit if there is no break in service), then the submission criteria for a PCS transfer shall apply. If the ADOS is performed at the same unit as the Reported-on Officer's previous SELRES/IRR unit (or previous ADOS unit if there is no break in service), the ADOS performance shall be included in the Reported-On Officer's next regular OER(s), as long as there is no change in the description of duties and reporting officer.
- (c) ADOS With Subsequent EAD Contract. Reported-on Officers who are on ADOS assignment and are immediately brought on an Extended Active Duty (EAD) contract in the same assignment may defer submitting an OER until their next regular ADPL OER submission date, as long as there is no break in service and no change in the description of duties and reporting officer.
- (2) Active Duty Due to Mobilization. This section describes Reserve-specific OER submission rules for officers who are involuntarily recalled to active duty in support of a contingency. Involuntary recalled reservists on long-term orders are not removed from their SELRES or IRR assignments as are their counterparts on long-term ADOS.
- (a) Involuntary Recall to AD at Reported-on Officer's SELRES/IRR Unit. If the Reported-on Officer is involuntarily mobilized to perform active duty of any duration at his or her permanent IDT/ADT unit (or previous ADOS unit if there is no break in service), performance of the mobilization duty shall be included in the officer's regular OER(s). If the Reported-on Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the mobilization assignment, then in all cases (for involuntary recall of any length), a concurrent OER shall be completed by the mobilization unit's rating chain for the period of recall to active duty. ADPL submission schedules begin to apply after six months of continuous active duty; IDPL submission schedules commence again upon demobilization.
- (b) Involuntary Recall to AD at another Unit for Less than 92 Days. If the Reported-On Officer is mobilized to perform active duty for a period of less than 92 days at a unit other than the SELRES/drilling IRR unit, the supervisor and reporting

officer of the mobilization unit is responsible for providing the SELRES/drilling IRR unit with a draft Officer Evaluation Report, Form CG-5310, Sections 1-11. The draft may be handwritten and shall include marks and comments (bullet statements may be used) for the period of observation. The mobilization supervisor and reporting officer shall sign the draft OER (no reviewer authentication is required) and forward it to the SELRES/drilling IRR unit supervisors. A copy of the draft OER may be provided to the Reported-on Officer.

- (c) Involuntary Recall to AD at Another Unit for 92 Days or More. If the Reported-On Officer is involuntarily mobilized to a unit other than the permanent SELRES unit, then OER submission criteria for a PCS transfer shall apply; the permanent SELRES unit shall prepare a PCS departure OER if required, and the mobilization OER counts for continuity, even though the member is not removed from his or her SELRES assignment. ADPL submission schedules apply.

Figure 5.A.9. Reserve OER for Active Duty for Operational Support (ADOS) in Support of the Active Component (AC) or Reserve Component (RC)



Key:
 EOP = End of Period
 IDT = Inactive Duty for Training
 RO = Reporting Officer
 ROO = Reported-On Officer

* In this instance, ADOS performance must be documented in ROO's next IDT OER if an ADOS OER is not completed.

5.A.4. Preparation and Processing of Evaluation Reports

5.A.4.a. General

This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs). Members of the rating chain should prepare reports with care. They should ensure that comments are clear, concise, and accurate.

- (1) The OER is a series of forms (Officer Evaluation Report, Form CG-5310, and Reviewer Comments, Form CG-5315 (series)), used to document Coast Guard officers' performance and potential.
- (2) Forward OERs to arrive at Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 45 days following the end of the reporting period unless otherwise noted under Article 5.A.3.a. of this Manual.
- (3) OER form software will default to the desired font type and size. Commands should not try to adjust the default settings.
- (4) Reports in all capital letters are prohibited. OER pages shall be one sided only; two-sided OERs are prohibited.
- (5) Text enhancements, (e.g., underlining, boldface, all capital letters, font size deviations) are not allowed.
- (6) Assign marks in ink. Line out and initial changed marks in ink. Reprint the OER if more than two marks are changed.
- (7) Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.
- (8) Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.

5.A.4.b. Forms

The following forms shall be used:

GRADE	FORM	REVIEWER COMMENTS
Captain	CG-5310D	CG 5315-D
Commander	CG-5310C	CG 5315-C
Lieutenant Commander	CG-5310B	CG 5315-B
Lieutenant	CG-5310B	CG 5315-B

Lieutenant (JG)	CG-5310A	CG 5315-A
Ensign	CG-5310A	CG 5315-A
Chief Warrant Officer	CG-5310A	CG 5315-A

5.A.4.c. Preparation

(1) Section 1, Administrative Data. The Reported-on Officer shall complete all items in this Section, and Section 13 (Return Address), no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- (a) Name. Last name, first and middle and initials only.
- (b) Reported-On Officer Signature. CWO to LCDR must review and sign (handwritten or electronic signature) in this space after the Reviewer has signed the OER but prior to submitting the OER to Commander (CG PSC). Article 5.A.4.c.(14) of this Manual.
- (c) EMPLID. Ensure correct.
- (d) Grade. Two-character paygrade, e.g., W2, O5, as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- (e) Date of Rank. Date of rank in all numerals, e.g., 2010/01/23, for the rank of the officer associated with the period of report.
- (f) Unit. Identification of the unit to which permanently attached, e.g., Commandant (CG-0946) or USCGC DECISIVE (WMEC-629). For concurrent OERs, use the TDY unit name. For “ADOS ” OERs use the ADOS unit name.
- (g) ATU-OPFAC.
 - [1] Administrative Target Unit (ATU). The two-digit numeric designation of the district, area, or headquarters unit to which administratively assigned, e.g., 01 for First District, 98 for Headquarters, 58 for the Deployable Operations Group.
 - [2] Operating Facility (OPFAC). The five-digit numeric designation of the unit to which permanently attached.
- (h) Days Not Observed. This block is no longer used; leave blank.
- (i) Date Reported. Indicate the actual date of reporting to the unit specified in f. as

shown in Direct Access. Enter date in the same format as Article 5.A.4.c.(1)(e) of this Manual. NOTE: Intra-unit PCS transfers constitute a change in Date Reported Present Unit.

- (j) Period of Report. The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.) ADOS OERs shall include only dates while on ADOS.
 - (k) Occasion for Regular Report. In accordance with Article 5.A.3.a. of this Manual, mark only one box for the occasion which has prompted the OER submission. The occasion is dictated by the end-of-period date in Block 1.j. Leave blank if the report is a Special, Concurrent or ADOS OER.
 - (l) Exception Report. In accordance with Article 5.A.3.c. of this Manual, mark special or concurrent, but not both, if the report is not a regular OER.
 - (m) Date Submitted. The date the Reported-on Officer submits the OER form to the Supervisor. Enter dates in the same format as Article 5.A.4.c.(1)(e) of this Manual.
- (2) Section 2, Description of Duties.
- (a) Provide the officer's primary duty title. This is defined in the unit personnel allowance list (PAL) as shown in Direct Access and is the position indicated on the officer's Permanent change of Station (PCS) orders.
 - (b) The Supervisor shall write a summary of the most important aspects of Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.
 - (c) Discuss all major duties assigned to the Reported-on Officer during reporting period. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not his or her primary Supervisor, the Supervisor should attempt to obtain from the secondary supervisor a description of the Reported-on Officer's duties while working for the secondary supervisor (e.g., TDY for less than 60 days; ADOS for 6 months or less). A concurrent OER should normally be completed for TDY greater than 60 days. An "ADOS" OER should normally be completed for ADOS/Involuntary Mobilization at another unit for greater than 182 days. The primary Supervisor should note these duties, citing the unit and inclusive dates.
 - (d) Describe duties and responsibilities to provide an overall understanding of the job.

Also note conditions peculiar to the assignment. Include number of people supervised, funds controlled, unit operations or organizational relationships as appropriate. Define highly technical terms. Comments must be clear and concise and confined solely to the space allotted on the form.

- (e) Describe the duties and responsibilities for officers with limited opportunity to perform in accordance with Article 5.A.2.b. of this Manual.
 - (f) Continuity, Exception, or Derogatory OERs. In addition to the description of duties and responsibilities, provide a brief reason why the OER was submitted. Exception: those OERs submitted under Article 5.A.3.a.(1)(c) of this Manual.
 - (g) Provide Reserve time if applicable. The following information should be entered (as shown) in Block 2 as the last part of the "Description of Duties": IDT Drills Scheduled/Attended: XX/XX; ADT: XX Days; ADOS: XX Days. Enter number of drills and days even if zero. The drills/days should reflect the number completed within the period of report, NOT the number completed during the anniversary year.
- (3) Section 2, Attachments.

The following subparagraphs address items that may or shall be listed as attachments to an OER:

- (a) Awards are no longer authorized attachments to the OER.
 - (b) Copies of punitive letters of censure and copies of Court Memorandums shall be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed; Articles 5.A.3.c. and 5.A.4.f. of this Manual. A written non-punitive censure or copy thereof may not be referred to or appended to the OER (Article 1.E.4. of reference (q), Discipline and Conduct, COMDTINST M1600.2 (series)). However, the performance which resulted in the non-punitive censure may be discussed in the OER.
- (4) Sections 3, 4, and 5.

- (a) These sections are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:

[1] Performance of Duties

[2] Communication Skills

[3] Leadership Skills

Two or more performance dimensions (rating scales) define each evaluation area.

Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. Supervisors must read each standard carefully. A space for supporting comments follows each set of dimensions.

- (b) For each evaluation area, the Supervisor shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor shall take care to compare the officer's performance and qualities against the standards—not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor selects the appropriate circle on the form.
- (c) Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" blocks or Section 2.
- (d) In the "comments" block following each evaluation area, the Supervisor shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. Supervisor shall draw on his or her observations, those of any secondary supervisors, and other information accumulated during the reporting period.
- (e) Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for below or above standard marks.
- (f) When appropriate, specifically address the officer's acquisition (O1 through O4) and demonstration (all officers) of seamanship or airmanship expertise (expert skill or knowledge). The following factors should be considered: easy application of the rules of the road and Federal Aviation Regulations (FARs); understanding of, and facility with relative motion concepts; good "sea sense" and a feel for the forces acting on ships or aircraft; and the ability to translate environmental inputs and mission requirements into consistently correct control applications and leadership decisions. These are some of the factors which indicate potential for future successful operational assignments including operations officer, executive officer, and command. In short, compare and discuss the officer's critical competency requirements with regard to seamanship or airmanship.

- (g) A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
 - (h) Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 5.A.4.h. of this Manual.
 - (i) All comments shall be confined to the space allotted to the Supervisor. No comments shall be continued from one comment block to another.
- (5) Section 6, Supervisor Authentication.
- (a) Block a. SIGNATURE—The Supervisor’s signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
 - (b) Block b. GRADE—Two-character military pay grade, or civilian equivalent (e.g., O6, GS12).
 - (c) Block c. EMPLID —Enter Employee ID Number in this block. Non-Coast Guard Supervisor shall leave this block blank.
 - (d) Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Assignments Branch).
 - (e) Block e. DATE—The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals (e.g., 2010/04/25).
 - (f) After signing the OER, the Supervisor gives it to the Reporting Officer, together with the OSF (if used), and any other authorized documentation or information.
- (6) Section 7, Reporting Officer Comments.
- (a) This section provides an opportunity for the Reporting Officer to comment on the Supervisor’s evaluation. Although this section is not mandatory, Reporting Officers are encouraged to cite other information and observations they may have which would confirm or provide another perspective of the Reported-on Officer’s performance and qualities demonstrated during the reporting period. By doing so, the Reporting Officer gives a more complete picture of the Reported-on Officer's capabilities.
 - (b) Section 7 shall not include continuing comments from any other comment block.

(7) Section 8, Personal and Professional Qualities.

- (a) This section measures an officer's personal and professional qualities. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. The standards are not the same for all forms. Reporting Officers must read each standard carefully. A space for supporting comments follows each set of dimensions.
- (b) For this evaluation area, the Reporting Officer shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each performance dimension, the Reporting Officer shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Reporting Officer shall take care to compare the officer's performance and qualities against the standards - not to other officers and not to the same officer in a previous reporting period. After determining which standard best describes the Reported-on Officer's performance and qualities during the marking period, the Reporting Officer selects the appropriate circle on the form in ink.
- (c) Where the Reporting Officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" block.
- (d) In the "comments" block following this evaluation area, the Reporting Officer shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Reporting Officer shall draw on his or her own observations, information provided by the Supervisor, and other information accumulated during the reporting period.
- (e) Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Well-written comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for marks.
- (f) A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
- (g) Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 5.A.4.h. of this Manual.

- (h) All comments shall be confined to the space allotted to the Reporting Officer. No comments shall be continued from one comment block to another.

(8) Section 9, Comparison and Rating Scales.

- (a) Comparison Scale (W2 to O2 and O3 to O4, and O5 forms). The Reporting Officer shall fill in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.
- (b) Promotion Scale (O5 form). In addition to the comparison scale, the Reporting Officer is required to fill in one Promotion Scale mark. For the Promotion Scale, the Reporting Officer must select "Recently promoted to O5" or "Already selected to O6", if either one applies. The Reporting Officer is required to provide the Reviewer with a copy of their most recent rating scale history. Non Coast Guard Reporting Officers are not required to provide a rating scale history. The rating scale history is found in Direct Access as follows: HOME> SELF SERVICE> EMPLOYEE>VIEW>OFF COMPARISON SCALE SUMMARY.
- (c) Rating Scale (O6 form). The Reporting Officer shall fill in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.
- (d) Reporting Officer's Comments. No specific comments are required to support the Reporting Officer's judgment in this section. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade. A mark of "unsatisfactory" requires compliance with Article 5.A.4.h. of this Manual.
- (e) Insufficient Opportunity to Make Judgment. No mark need be entered if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 10.

(9) Section 10, Potential.

- (a) Requirement. The Reporting Officer shall comment on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard. These comments shall be limited to performance or conduct demonstrated during the reporting period.
- (b) Content of Comments. Comments in this section reflect the judgment of the

Reporting Officer and may include, but are not limited to, the following:

- [1] Qualification to assume the duties of the next grade.
- [2] Specialties or types of assignment, such as command, for which the Reported-on Officer is qualified or shows aptitude.
- [3] Recommendations for selection to a senior service school.
- [4] Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.

(c) Length of Comments. Comments shall be confined to the allotted space on the form.

(10) Section 11, Reporting Officer Authentication.

- (a) Block a., Signature. The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
- (b) Block b., Grade. Two-character military pay grade, or civilian equivalent (e.g., O6, GS14).
- (c) Block c. EMPLID. Enter Employee ID Number. Non-Coast Guard Reporting Officer shall leave this blank.
- (d) Block d. Title of Position. Examples include Chief, Administration Division; Commanding Officer; Chief, Officer Management Branch.
- (e) Block e., Date. The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-the-period is prohibited. Enter date using a numeric format (e.g., 2010/11/22).

(11) Section 12, Reviewer Authentication.

- (a) Comments. When adding comments, the Reviewer checks the "Comments Attached" box in Block a. If block 12.a is checked, refer to Article 5.A.4.d. of this Manual.
- (b) Block b., Signature. The Reviewer's signature verifies that the OER has been completed properly and in accordance with these instructions. A typed name must accompany the signature, regardless if a hand or digital signature is used.

- (c) Block c., Grade. Two-character military pay grade or civilian equivalent (e.g., O6, SES 1).
 - (d) Block d. EMPLID. Enter Employee ID Number.
 - (e) Block e. Title of Position. Examples include Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division.
 - (f) Block f., Date. The date the Reviewer completed the review and forwarded the OER to the unit collateral duty OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is prohibited. Enter date using a numeric format (e.g., 2010/11/22).
 - (g) W2 – O4. For W2-O4, the Reviewer shall provide the Reported-on Officer the opportunity to review and sign the OER prior to forwarding the completed report, together with any authorized attachments, to Commander (CG PSC). Refer to Article 5.A.4.c.(14) of this Manual for exceptions to this requirement.
- (12) Section 13, Return Address. The Reported-on Officer provides an address to which the official copy of the OER will be returned when the original is filed in the officer's record. Use of this page is mandatory for return address purposes; however, the checklist is optional. If Reported-on Officer is in the process of a PCS move, the new home address may be used or the address of a relative/friend.
- (13) Section 14, Unit Administrator Review. Use of this block is optional.
- (14) Signatures. OERs require signature by the rating chain.
- (a) Digital Signature. Rating chains with Common Access Card (CAC) capabilities may digitally sign each signature block on the OER form. The use of digital signatures is not mandatory. Rating chains may still complete the form, print and handwrite signatures.
 - (b) W2 – O4. Reported-On Officers (ROO) in the grade of W2 through O4 are required to review and sign their OER in Section 1.b prior to submission to Commander (CG PSC). The ROO signature indicates the ROO has reviewed the completed OER, to include ensuring accuracy of the information in block 1. It does not mean the ROO agrees or disagrees with the content of the OER.
 - (c) ROO Review and Signature. ROO OER review and signature occurs after the Reviewer has signed the OER. Once the ROO signs the OER (either digitally or handwritten), the rating chain forwards the OER to CG PSC
 - (d) ROO Signature Not Required. Only in extraordinary circumstances will the ROO signature not be required. Examples include but are not limited to; medical disability of the ROO, incarceration or discharge of the ROO, etc. In these

circumstances where the ROO cannot review the OER, the Reviewer shall check the block in section 12.a of the OER and complete the Reviewer Comments, Form CG 5315 (series) with an explanation of why the ROO could not review the OER. The comparison scale shall not be completed. Transfer of a ROO is not an extraordinary circumstance.

- (e) Circumstances when ROO Cannot Review the OER. In cases where Reviewer comments and comparison scale are mandatory (see Article 5.A.2.f.(2)(b) and 5.A.4.d.(2) of this Manual) and extraordinary circumstances prevent the ROO from reviewing the OER, the Reviewer shall complete the Reviewer Comment, Form CG 5315 (series), and provide required comments and an explanation of why the ROO was unable to review the OER.
- (f) Duty Under Instruction and Continuity OER. Duty Under Instruction (DUINS) and Continuity OERs (OERs with all marks of not observed) do not require the ROO review and signature. Exceptions. Exception of CWO4 Continuity OERs submitted in accordance with Article 5.A.3.a.(5)(b)[5] of this Manual, shall be signed by the ROO.

5.A.4.d. Format for Reviewer Comments

- (1) General. Reviewers desiring to attach comments to the OER shall restrict their comments to a maximum of one page of Reviewer Comments, Form CG-5315 (series), or one single-spaced page (8½” x 11”) typed on one side with no enclosures. The comparison scale is not to be completed unless the Reviewer comments are mandatory Article 5.A.2.f.(2)(b) of this Manual.
- (2) Format on Reviewer Comment, Form CG-5315 (series).
 - (a) Mandatory. Comments and a comparison/rating scale mark are mandatory if block 9 is required on the Reviewer Comment, Form CG-5310, and the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11); Article 5.A.2.f.(2)(b) of this Manual.
 - (b) Optional.
 - [1] The Reviewer may comment on the Reported-on Officer’s performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or further explained.
 - [2] The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions.

- (c) Additionally, the Reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer's potential.
- (3) Format of Comments When Reviewer Comments, Form CG-5315 (series), Not Used. Reviewer comments shall be formatted as follows:
 - (a) Name/Rank/EMPLID of Reported-On Officer.
 - (b) Period of Report.
 - (c) Reviewer Comments:
 - (d) Add comparison or rating scale if required by Article 5.A.2.f. of this Manual.
 - (e) Following the last line of comments the Reviewer shall sign as below:

Signature/Date
Name: Rank: (typed)
Reviewer
- (4) Location of Reviewer Comments. Reviewer comments should be affixed to the back of the OER.

5.A.4.e. Unit OER Administration

- (1) Responsibility. The commanding officer is responsible for unit level OES Administration as outlined in Article 5.A.2.b. of this Manual.
- (2) Review and Validation. Completed OERs shall be forwarded to Commander (CG PSC) for review and validation processing.
- (3) Submission Criteria.
 - (a) U. S. Mail. Send the original OER and authorized attachments directly to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 45 days after the end of the reporting period; Article 5.A.2.f.(2)(e) of this Manual.
 - (b) Facsimile. The scanned OER must include all pages and legible rating chain signatures
 - (c) Email. The scanned OER must include all pages and legible rating chain signatures. Scan resolution must be set to at least 300 dpi. Color or black and white is acceptable. An email with attached OERs should not exceed 10MB. Do not mix ADPL and IDPL OERs together.

(4) Procedures. Procedures for submitting OERs are as follows:

- (a) Electronic Submissions. Electronic submissions directly to Commander (CG PSC) shall be PDF files containing all authorized attachments.
- (b) Active Duty Promotion List (ADPL). The email address is ARL-PF-CGPSC-OPMOER@USCG.MIL.
- (c) Inactive Duty Promotion List (IDPL). The email address is ARL-PF-CGPSC-RPMOER@USCG.MIL.
- (d) Subject Line. The subject line should include the Reported on Officer's last name, first/middle initial and rank. If the ROO is a candidate for an upcoming board or panel include the term Panel or Board in the subject line. For emails with multiple OERS use only the unit name. Attached files should be named as stated above with ROO name/rank.
- (e) Required Comments. At the bottom of the email include the following verbiage: "This message contains personally identifiable information and shall only be forwarded to personnel who are authorized and have the need to see it. If you feel that you have received this information in error, notify the originator so appropriate action may be taken. Do not reply to all."
- (f) Commander (CG PSC) Action. Commander (CG PSC) will enter OER data into Direct Access upon receipt. Rating chains/unit administrators are encouraged to track OER receipt via the Coast Guard Business Intelligence (CGBI) system, and notify Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) if CGBI does not reflect receipt within 5 business days. Reported-on Officers maintain overall responsibility for ensuring their OER has been processed per Article 5.A.2.c. of this Manual. Reported-on Officers should contact Commander (CG PSC-PSD-MR) if they have not received the validated OER within 120 days after the end-of-period of the OER.

5.A.4.f. Restrictions

Members of the rating chain shall not:

- (1) Mention the officer's conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, PRRB, CG BCMR, or any other investigation (including discrimination investigations) except as provided in Article 5.A.3.c. of this Manual. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under Article 5.A.4.g. of this Manual. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to

the proceeding itself.

- (2) Consider or evaluate the performance of any officer as a member of a court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by reference (d), Manual for Courts-Martial, M.C.M., 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels' advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. However, in commenting on such performance, whether favorable or unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).
- (3) Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel (e.g., references to non-voluntary retirement or separation).
- (4) Mention any PRRB or BCMR application or decision.
- (5) Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. The mention of NFFD status is prohibited.
- (6) Mention pregnancy. Restriction applies to Reported-on Officer and family members.
- (7) Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.
- (8) Place emphasis upon a third party by gender, religion, color, race, or ethnic background (e.g., Catholic lay minister wrote award recommendation for African-American civilian). Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.
- (9) Refer to the Reported-on Officer by first name in the comment blocks.
- (10) Refer to Reported-on Officer's marital or family status.
- (11) Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period except as provided in Article 5.A.3.c. of this Manual.
- (12) Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.

- (13) Reserve Reported-on Officer OERs shall not comment on non-Coast Guard employment, including ROO's who are also employed as civilians in the Coast Guard.

5.A.4.g. Reported-on Officer Reply

- (1) Replies. The Reported-on Officer may reply to any OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official.
- (2) Content of Replies. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in Article 5.A.4.f. of this Manual apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
- (3) Submission of Replies. Reported-on Officer replies must be submitted to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) via the original rating chain. If the whereabouts of the original rating chain members are unknown, submit the original and one copy directly to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) who will forward the reply to the Supervisor, Reporting Officer, and Reviewer.
- (4) Timeline for Submission of Replies to Supervisor. Replies must be submitted to the Supervisor within 21 days from receipt of the original, validated OER from Commander (CG PSC-OPM-3) or (CG PSC-RPM-1). Replies based upon receipt of local copies will not be accepted.
- (5) Timeline for Submission of Reply to Commander (CG PSC). The OER Reply should be processed by the rating chain to arrive at Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 30 days after the date the Reply was submitted to the Supervisor.
- (6) Quality Review. Commander (CG PSC) shall conduct a quality review of replies to ensure compliance with policy and upon validation will append to the applicable OER.
- (7) Timeline for Receipt of Validated OER. The Reported-on Officer shall inform Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) directly by written communication (E-mail is acceptable) if the, validated OER Reply has not been received 60 days from the date the Reply was submitted to the Supervisor.
- (8) Corrections. Reported-on Officer replies do not constitute a request to correct a record. An officer who believes his or her OER contains a major administrative or substantive error should follow the procedures to correct military records as outlined in Article 5.B. of this Manual. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review

of a Reported-on Officer's reply, concur with the Reported-on Officer that an error may be present in the OER, shall return the reply to the Reported-on Officer and assist that officer in following the procedures of Article 5.B. of this Manual.

(9) Format of Replies.

Date: (Submitted to Supervisor)

Signature

From: (RANK, NAME, USCG/USCGR)

To: Commander (CG PSC-OPM-3) or (CG PSC-RPM-1)

Thru: (1) (Original Supervisor by name)
(2) (Original Reporting Officer by name)
(3) (Original Reviewer by name)

Subj: OER REPLY

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3 (series)

1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period (Year/Month/Day) to (Year/Month/Day).

#

- (10) Reported-on Officers shall limit their replies to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the reply shall limit that response to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond to the reply, he or she shall initial and date in the thru block of the Reply, and forward through the rating chain.
- (11) Any rating chain member who, upon reviewing a Reported-on Officer's reply, finds reason to concur that an error of fact may be present in the OER shall comment in their response and assist the officer in following the records correction procedures in Article 5.B. of this Manual.

5.A.4.h. Derogatory Reports

- (1) Definition. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of assigned duties. Section 2 of the OER shall clearly state "Per Article 5.A.4.h., this OER is a derogatory report." Rating chains are strongly encouraged to contact Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) for guidance in derogatory OER preparations. Derogatory OERs should be

completed by the rating chain and received by Commander (CG PSC) no later than 45 days after the OER was initiated by the rating chain. Derogatory reports are only those OERs which:

- (a) Contain a numerical mark of one in any performance dimension, and/or
- (b) Contain an “unsatisfactory” mark by the Reporting Officer in section 9, and/or
- (c) Documents conduct or performance which is adverse or below standard and results in the removal of a member from his or her primary duty or position.

(2) Processing. Derogatory OERs are processed as follows:

- (a) The Reporting Officer shall provide a copy (authenticated through Section 11) to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer is not required to prepare an addendum. The Reported-on Officer’s addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from an official request for correction of the record under Article 5.B. of this Manual or submitting an OER Reply under Article 5.A.4.g. of this Manual.
- (b) After completing the addendum, the Reported-on-Officer shall forward the OER along with the addendum to the Reporting Officer. The Supervisor and the Reporting Officer shall be afforded the opportunity to address the Reported-on Officer’s addendum. In all cases, the rating officials shall each endorse the addendum by signature. The Reporting Officer will then forward the OER and attachments to the Reviewer.
- (c) If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: “I am aware of the contents of the performance report and decline comment.” An addendum by the Reported-on Officer must be made within 14 days of receipt of the OER unless an extension is specifically requested from Commander (CG PSC-RPM-1) or (CG PSC-OPM-3). If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Attachment specifically stating that an addendum was solicited but not received.
- (d) The Reviewer shall ensure that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, he or she shall return the report to the Reporting Officer for additional information and/or clarifying comments. Substantive changes to the OER require its return to the Reported-on Officer to provide another 14-day

opportunity for the Reported-on Officer to revise the addendum.

- (e) Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer shall limit the addendum to a maximum of two single-spaced pages (8½” x 11”) typed on one side with no enclosures. Rating chain members, addressing the Reported-on officer’s addendum, shall each limit their comments to a maximum of one single-spaced page (8½” x 11”) typed on one side with no enclosures.

5.A.4.i. Format for Addendum

- (1) Reported-on Officers and members of the rating chain shall each identify their attachments in the format below:

- (a) NAME/RANK/EMPLID OF REPORTED-ON OFFICER.
- (b) PERIOD OF REPORT.
- (c) REPORTED-ON OFFICER/SUPERVISOR/REPORTING OFFICER/REVIEWER COMMENTS:

- (d) Following the last line of comments the rating chain shall sign as below:

Signature/Date
Name: Rank: (typed)
Rating chain designation

- (2) The addendum and enclosures (if any) should be stapled to the back of the OER before submission to Commander (CG PSC).

5.A.4.j. Review of OERs at Coast Guard Personnel Service Center

- (1) Responsible Offices. OERs sent to Commander (CG PSC) are received by Commander (CG PSC-RPM-1), Reserve Personnel Management Division or Commander (CG PSC-OPM-3), Officer Evaluations Branch.
- (2) Commander (CG PSC) Review. Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) reviews OERs for administrative and substantive errors. Particular attention is given to inconsistencies between the numerical evaluations and written comments. The review is not intended to question a rating official’s judgment about a subordinate’s performance, but to ensure OERs have been prepared in accordance with OES guidelines.
- (3) Unacceptable Reports. Reports found unacceptable are returned to the original rating chain member identifying areas for correction. When corrected by the appropriate member(s) of the rating chain, OERs are returned to Commander (CG PSC-RPM-1)

or (CG PSC-OPM-3) via the rating chain within 30 days.

- (4) Commander (CG PSC) Actions. After an OER has been validated, Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) will forward the OER to Commander (CG PSC-PSD-MR) for insertion into the member's EI PDR. The copy of the OER will be forwarded to the Reported-on Officer.

5.A.4.k. Correction of OERs

- (1) Quality of Comments. Comments in the OER must be sufficiently specific to present a complete picture of the Reported-on Officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned and justify those marks which deviate from a four. On those marks indicated by Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) as not being supported, the Rating chain should either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided.
- (2) Administrative Remarks.
- (a) Marks and comments may be changed only by the original Supervisor and Reporting Officer.
- (b) Comments must be confined to the allotted space on the form. The Supervisor's comments must be confined to Sections 2-5 and the Reporting Officer's to Sections 7-8 and Section 10. Only the Reviewer may add a comment sheet in compliance with Article 5.A.4.d. of this Manual.
- (c) All changes to the original OER shall be initialed.
- (d) The dates in Blocks 6.e., 11.e., and 12.f. should be adjusted to reflect the date that the necessary changes and reviews were actually made.
- (e) A new OER form should be used if the corrections are extensive. A new form is required if more than two marks are changed or a different size or style of type is used for additional comments. The date submitted (Block 1.l.) should not be changed.

5.A.5. Preparation and Use of the Duty Under Instruction (DUINS) OER

5.A.5.a. General

This section describes the procedures for preparing and processing DUINS OERs.

- (1) The Officer Evaluation Report, Form CG-5310 (series), submission schedule for officers assigned to DUINS shall be as follows:

- (a) When a Reported-on Officer is assigned PCS duty under instruction to a civilian institution, Naval Post Graduate School (NPS) Monterey, or an Armed Forces School (Service or Senior Service), OER submission will be coordinated with routine breaks in the school's academic schedule. For lieutenants (junior grade) and below, at minimum OERs shall be submitted twice a year. For lieutenants and above, at minimum OERs shall be submitted once a year.
- (b) When a Reported-on Officer is assigned PCS duty under instruction to industry training, OERs shall be submitted upon detachment of the officer or completion of the program. Cannot exceed requirements contained in Article 5.A.3.a.(1)(a) of this Manual.
- (c) When a Reported-on Officer is assigned PCS duty under instruction to Flight Training, OERs shall be submitted at the end of each training phase. Cannot exceed requirements contained in Article 5.A.3.a.(1)(a) of this Manual.
- (d) Reported-on Officer's assigned duty under instruction to the Naval Special Warfare Command, Sea, Air, and Land Forces (SEAL) Training Program, are first assigned to an initial basic indoctrination course, followed by a 1 to 2 year training program, culminating in assignment to a Navy SEAL unit as their primary duty. For OER purposes in these cases, the following submission criteria applies:
 - [1] Indoctrination period: The Reported-on Officer's permanent rating chain shall follow the normal submission schedule criteria while the officer is TDY to the basic indoctrination. Delays to regular submission schedule to coincide with indoctrination completion may be considered by Commander (CG PSC-OPM-3).
 - [2] Training Period: Once the Reported-on Officer has successfully completed indoctrination and commences the training phase, all future OER submissions will be submitted as a DUINS at the completion of each training phase. The Coast Guard program manager is responsible for OER submissions. Reporting periods cannot exceed maximum submission schedules in accordance with Article 5.A.3.a.(1)(a) of this Manual.
 - [3] Upon Primary Duty assignment to a Navy SEAL unit, the Reported-on Officer shall assume the submission schedule based on their pay-grade in accordance with Article 5.A.3.a.(1)(a) of this Manual.
- (e) When a Reported-on Officer is assigned PCS duty under instruction and performing duty as an intern or trainee at a Coast Guard unit (e.g., Law student, legal staff intern), a concurrent OER may be submitted for a period of greater than 14 days. This concurrent OER provides an opportunity for DUINS students to document performance. A concurrent OER does not count for continuity and this is an exception to the guidelines provided in Article 5.A.3.c.(2) of this Manual.

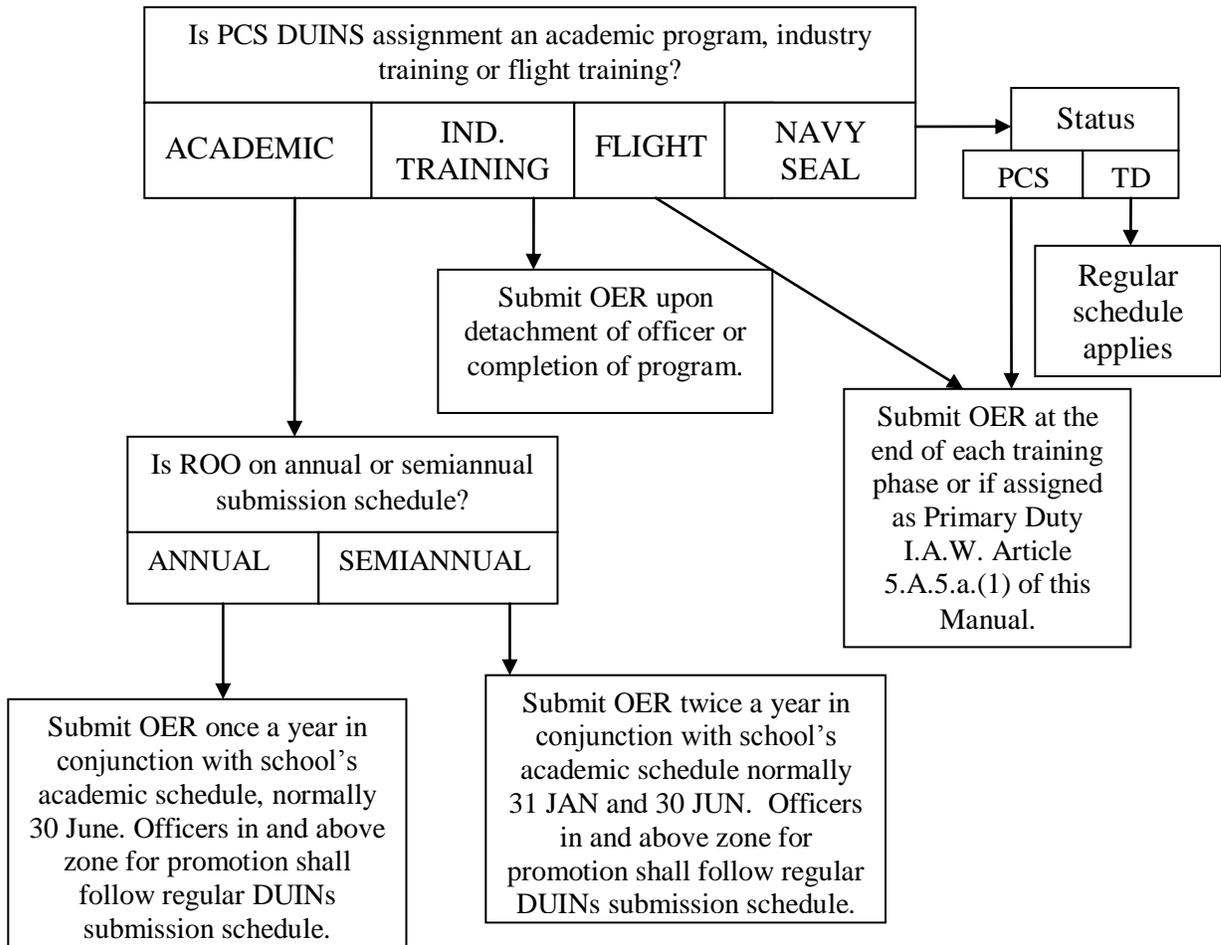
- (f) Officers in and above zone for promotion shall follow the regular DUINS submission schedule. A DUINS OER period of report shall not exceed 18 months.
 - (g) SSG students shall follow regular submission schedules outlined in Article 5.A.3. of this Manual.
- (2) Use the DUINS flowchart (Figure 5.A.10. of this Manual) for general guidance when submitting a DUINS OER.

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

- (1) For Reported-on Officers assigned PCS duty under instruction to a civilian institution, industry training, or to NPS Monterey, rating officials will be individuals within the appropriate program managing office.
- (2) For Reported-on Officers assigned PCS to duty under instruction to Service schools such as flight training, Naval War College (command and staff), AFSC, etc., the host Service's chain of command will function as the Supervisor and Reporting Officer. The Reviewer will be either the Coast Guard liaison officer (if any) or an individual within the appropriate program managing office.
- (3) For Reported-on Officers assigned PCS to duty under instruction to the Navy SEALs Program, the Coast Guard parent command will serve as the rating chain. Upon primary duty assignment to a navy SEAL unit, refer to Article 5.A.2. of this Manual.
- (4) For officers assigned PCS to duty under instruction to Senior Service Schools, e.g., Air War College, Naval War College, National War College, or Brookings Institute, etc., the host Command's chain of command will function as the Supervisor and Reporting Officer.
- (5) For Commander and below at either a military or civilian senior service school, the Reviewer will be the chief of the headquarters program managing office.
- (6) For Captains attending any DUINS program, the Reporting Officer and Reviewer shall be a Coast Guard Flag Officer or Coast Guard Senior Executive Service member from the appropriate headquarters program managing office.
- (7) For Captains attending Senior Strategic Groups (SSG), the Reporting Officer and Reviewer shall be a Coast Guard Flag Officer or Coast Guard Senior Executive Service member, or service equivalent (e.g., Chief of Naval Operations for the CNOS SSG) unless article 5.A.2.e.(1)(g) of this Manual applies. Unlike other DUINS programs, SSG studies require a regular OER to include marks and comments.
- (8) For all other DUINS Officers, (law degree, public admin, etc) the supervisor and reporting officer may be the headquarters program managing office.

- (9) Letter reports signed by school officials are no longer accepted as attachments for DUINS programs that provide official transcripts or degrees. Course titles, grades, grade point average and semester hours can be cited in block 3 of the Officer Evaluation Report (OER), Form CG-5310. For those DUINS programs at institutions that do not provide official transcripts or degrees, letter reports signed by school officials are still required at the completion of a DUINS assignment.
 - (10) For commanders and below where a civilian serves as the Reporting Officer, no Reviewer comments are required. Optional Reviewer comments may be submitted and shall follow the format specified in Article 5.A.4.d. of this Manual.
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Figure 5.A.10. OER For Duty Under Instruction (DUINS)



Key:
ROO = Reported-on Officer

5.A.5.c. Preparation

- (1) Section 1—Administrative Data. The Reported-on Officer will complete all items in this Section and Section 13 (Return Address). The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- (a) Name. Last and initials only.
- (b) EMPLID. Ensure correct.
- (c) Grade. Two-character pay grade (e.g., W2, O5) as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- (d) Date of Rank. Date of rank in all numerals (e.g., 2010/01/23) for the rank of the officer associated with the period of report.
- (e) Unit. The name of school, college, or university being attended or designation of industry training.
- (f) Administrative Target Unit (ATU) and Operating Facility (OPFAC).
 - [1] ATU. Use the two-digit numeric designation of personnel servicing unit to which administratively assigned (e.g., 01 for First District, 98 for Headquarters).
 - [2] OPFAC. Use the OPFAC number assigned to the institution.
- (g) Days Not Observed. Enter a two-digit number in all categories representing the days not observed during the evaluation period.
- (h) Date Reported. Indicate the actual date of reporting to the school specified in f. as shown in Direct Access. Enter date in the same format as d. above.
- (i) Period of Report. The regular reporting period commences the day after the ending date of the previous regular OER and ends on the date of the occasion for the report. Dates shall be entered in the same format as e. above.
- (j) Occasion for Regular Report. Mark "Annual," "Semiannual" or "Detachment of Officer" as the occasion for the report.
- (k) Exception Report. Leave unmarked.
- (l) Date Submitted. The date the Reported-on Officer submits the OER form to the

Supervisor. Dates will be entered in the same format as Article 5.A.5.c.(1)(d) of this Manual.

(2) Section 2, Description of Duties and Attachments.

- (a) Identify the institution or school attended and its location, the program or degree sought or earned, and the expected duration or completion of the program (e.g., Primary Duty: DUINS – UNIVERSITY OF SAN DIEGO).
- (b) List documents attached to the OER. Letter reports signed by school officials are required at the completion of a DUINS assignment only if the institution does not provide an official school transcript (e.g., RAND, SLOAN) and should be listed as an attachment.
- (c) Do not attach transcripts or diplomas.

(3) Sections 3 through 10.

- (a) The "Not Observed" circle shall be used for all marks. Leave section (comparison or rating scale) blank.
- (b) As applicable to the program being attended, course titles, grades, and grade point average for each semester covered by the OER shall be listed in Block 3f.
- (c) No other comments are authorized in these sections.

(4) Reviewer Comments. Reviewer comments are optional regardless of the rating chain members. When used, Reviewer comments shall follow the format specified in Article 5.A.4.d. of this Manual.

5.A.6. Preparation and Use of the Officer Support Form (OSF) Worksheet

5.A.6.a. General

This section suggests procedures for preparing and using the optional OSF worksheet. This form may be used by the Reported-on Officer, the Supervisor, or both, as an aid to establishing a clear understanding of job expectations and assist the Supervisor in providing constructive performance feedback and in preparing proper evaluations. Use of the OSF or similar format is mandatory for Supervisors of all Reported-on Officers in the grades of ensign and lieutenant (junior grade). The form may be handwritten or typed. If a documentation format other than the OSF is used, general adherence to the major sections of the OSF are encouraged.

5.A.6.b. Functions of the OSF

- (1) Serves as a vehicle for clarifying the Reported-on Officer's job responsibilities and

areas of the job which either the Reported-on Officer and/or Supervisor feel should receive emphasis during the reporting period.

- (2) Serves as a means for the Reported-on Officer to inform the Supervisor if beginning or end-of-period performance feedback or counseling is desired.
- (3) Provides the Reported-on Officer a means of bringing to the Supervisor's attention significant accomplishments or aspects of performance which occurred during the period.
- (4) Provides a convenient place for the Supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.
- (5) Serves as a vehicle for giving specific, constructive performance feedback.
- (6) Assists the Supervisor and Reporting Officer in preparing well-substantiated performance evaluations.
- (7) Serves as a vehicle for the supervisor of a TDY officer, assigned temporarily for periods of less than 60 days, or an ADOS officer, assigned temporarily for periods of 182 days or less, to relay information to the Reported-on Officer's OES Supervisor. The OSF is normally submitted to the Supervisor upon detachment of the officer from TDY.
- (8) Serves as a means for district commanders to report on commanding officers of Headquarters units located within their districts. This is an optional avenue to address community relations and those aspects of performance relating to the support services defined in Memoranda of Understanding (MOUs), host-tenant agreements, intra-service support agreements, or similar contracts. If used, OSFs will be submitted directly to the Reported-on Officer's regular Supervisor approximately 21 days before the end of the reporting period.

5.A.6.c. The Form

Officer Support Form (OSF), Form CG-5308, may be used for all grades of officers. It consists of four pages with six major sections:

- (1) Administrative Data
- (2) Description of Duties
- (3) During Period Adjustments
- (4) Accomplishments and Shortcomings for the Reporting Period
- (5) Supervisor Comments on Reported-on Officer Accomplishments and shortcomings

(6) Performance Observations

5.A.6.d. Preparation(1) Section 1, Administrative Data.

- (a) Name/Rank of Reported-On Officer.
- (b) Name/Rank of Supervisor. Normally, this will be the primary Supervisor as published in the rating chain.
- (c) Period Covered. The period of time covered by the information noted in the form. Normally the same as the OER reporting period.

(2) Section 2a, Description of Duties.

- (a) This space provides opportunity for the Reported-on Officer or Supervisor to make a “common sense” outline of the Reported-on Officer’s normal duty requirements for the specific billet or duty position.
- (b) Entries should show the type of work required rather than frequently changing tasks.
- (c) Descriptions should be clear, concise, and specific; explain what the Reported-on Officer’s job is; and not merely list primary and collateral duty titles.
- (d) Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.

(3) Section 2b, Areas of Emphasis.

- (a) This section provides an opportunity for the Reported-on Officer or Supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.
- (b) Particular goals for the Reported-on Officer’s professional development during the period may be listed as well (such as completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses, etc.).

(4) Section 2c, Initial Meeting Desired.

- (a) This section shall be used by the Reported-on Officer to notify the Supervisor if a meeting is desired at the beginning of the reporting period to discuss what is

expected for the coming period. If the Reported-on Officer desires a meeting, they shall submit the OSF to the Supervisor no later than 21 days before the beginning of the reporting period.

- (b) When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

(5) Section 3, During Period Adjustments.

- (a) This section is useful when circumstances affecting the Reported-on Officer's duties, projects, and areas of emphasis change to any significant degree.
- (b) The Reported-on Officer or Supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact upon the Reported-on Officer's ability to attain the expected results.

(6) Section 4a, Accomplishments for the Period.

- (a) In this section, the Reported-on Officer may list accomplishments and progress toward completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.
- (b) If the Reported-on Officer intends to apprise the Supervisor of accomplishments or progress for the period using the OSF, the Reported-on Officer shall submit the OSF no later than 21 days before the end of the reporting period.

(7) Section 4b, End of Period Meeting Desired.

- (a) The Reported-on Officer shall use this section to notify the Supervisor an end-of-period meeting is desired.
- (b) When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

(8) Section 5, Supervisor's Comments on the Reported-on Officer's Accomplishments and Shortcomings for Period.

- (a) The Supervisor may affirm, supplement, expand, or otherwise comment upon the Reported-on Officer's accomplishments during the reporting period. The Supervisor should draw from the information generated by conferences and other performance.
- (b) Comments here may become a subject for discussion during the end-of period conference.

(9) Section 6, a-f, Performance Observation.

- (a) This section of the OSF is used by the Supervisor to note specific examples of the Reported-on Officer's performance or qualities observed or brought to the Supervisor's attention in each of the major evaluation areas of the OER.
- (b) The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and substantiating evaluations on the OER. Entries are best noted chronologically as they occur in the appropriate evaluation area.
- (c) For convenience, the Supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the Reported-on Officer's performance during the reporting period
- (d) Supervisors are encouraged to exercise imagination in utilizing section 6 of the OSF as an aid in obtaining information related to the Reported-on Officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the Reported-on Officer's performance or the performance of their organizational unit are acceptable and may be helpful.

5.A.6.e. Disposition of the OSF

- (1) When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from his or her copy to the original, which has been held by the Reported-on Officer during the period. Having used the OSF as an aid in evaluating the Reported-on Officer's performance, the Supervisor then forwards the original OSF, the OER, and any other information available to the Reporting Officer. The Supervisor then destroys the copy of the OSF, if different from the original. A photocopy of the original may be retained.
- (2) The step in Article 5.A.6.e. (1) above (describing the transfer of information from a working copy to the original OSF) represents one recommended way and is not intended to restrict the Supervisor in finding a flexible or more convenient way to finalize the OSF. There are a variety of approaches by which information may be obtained or transferred from one form to another subject to the Supervisor's preference. The goal is for the Reported-on Officer to be aware of what his/her evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.
- (3) Supervisors and Reported-on Officers are encouraged to be flexible in using the OSF as an aid in carrying out their duties within the spirit of these instructions. Filing copies of correspondence, messages, work lists, trip reports, and even paper notes in the OSF is a sound means of spontaneously documenting the Reported-on Officer's

performance. These documents can greatly assist in giving performance feedback and writing an evaluation.

- (4) Assisted by the OSF, personal observations, and other information available, the Reporting Officer evaluates the Reported-on Officer's performance of duties, personal qualities, and potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.
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5.B. Correction of Military Records

Coast Guard officers are encouraged to review their record periodically. While Commander (CG PSC-OPM) and (CG PSC-RPM) attempt to ensure that OERs accurately reflect officers' performance, the possibility of administrative or substantive error still exists. Accordingly, officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error. Those officers wishing to exercise this right should follow the procedures to correct military records contained in Correcting Military Records, COMDTINST 1070.1 (series) for forwarding the application to the Personnel Records Review Board (PRRB) or Board for Correction of Military Records (BCMR), as appropriate. The application may be forwarded through the original rating chain at the officer's option. If the whereabouts of the original members of the rating chain are unknown, officers should submit the application directly to the PRRB or BCMR. Additionally, an officer may forward his or her application via the officer's current chain of command but is not required to do so and may send the application directly to the PRRB or BCMR.

5.C. Officer Evaluation System Changes

5.C.1. General

Commander (CG PSC) will report annually on the health of the Officer Evaluation System (OES). Statistical trends and conclusions will be included in the report, plus recommended changes for the current year and identification of issues and/or changes under consideration.

5.C.2. Participation

Anyone is encouraged to recommend improvement or change. Address formal or informal correspondence to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3). Communication by telephone is also encouraged to discuss issues or areas of personal concern.
