U.S. Department of
Homeland Security

United States
Coast Guard

# COAST GUARD OFFICER EVALUATION SYSTEM PROCEDURES MANUAL

**PSCINST M1611.1C**

U.S. Department of Homeland Security
United States Coast Guard

Commander
United States Coast Guard
Personnel Service Center

Personnel Service Center
2703 Martin Luther King Jr. Ave. SE
Stop 7200
Washington, DC 20593-7200
Staff Symbol: CG PSC (opm-3)
Phone: (202) 795-6468

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Subj: OFFICER EVALUATION SYSTEM PROCEDURES MANUAL

Ref:
(a) Officer Accessions, Evaluations and Promotions, COMDTINST M1000.3 (series)
(b) Correcting Military Records, COMDTINST 1070.1 (series)
(c) Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, PSCNOTE 1401.5 (series)
(d) Performance, Training, and Education Manual, COMDTINST M1500.10 (series)
(e) Discipline and Conduct, COMDTINST M1600.2 (series)
(f) Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)
(g) Reserve Policy Manual, COMDTINST M1001.28 (series),

1. PURPOSE. This Manual prescribes the procedures for completing the Coast Guard Officer Support Form (OSF) and Officer Evaluation Report (OER). It includes both performance and academic evaluations.

2. ACTION. The provisions of this Manual apply to all Reported-on Officers and rating chains, Coast Guard unit commanders, commanding officers, deputy/assistant commandants, and chiefs of headquarters staff elements. This Manual discusses *procedures* and reiterates *policies* set forth in Reference (a). Failure to comply with OER procedures does not necessarily render an OER invalid. Internet release is authorized.

3. DIRECTIVES AFFECTED. The Coast Guard Officer Accessions, Evaluations and Promotions Manual, COMDTINST M1000.3 (series) separated policy and procedure for the Officer Evaluation System (OES). This Manual sets forth the OES procedures and will allow for expedited updates and promulgation of procedural changes. Officer Evaluation System Procedures Manual, PSCINST M1611.1B, is hereby cancelled.

4. REQUEST FOR CHANGES. PSC relies on user input and feedback for improvement of this and other publications we provide. Recommendations may be submitted by e-mail to

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NON-STANDARD DISTRIBUTION:

arl-pf-cgpsc-opm@uscg.mil and arl-pf-cgpsc-rpm-query@uscg.mil.

5. MAJOR CHANGES. Changes to this Manual include adding Chapter 1, Rating Chain; Chapter 3, Mid-term Counseling; Chapter 7, Reserve Specific Information; and Chapter 8, Regular OERs. Deleting Chapter 4, Special OERs, and creating 5 new chapters to discuss each type of OER and to reflect the new OER names in policy. The processes set forth in Chapter 4, Preparation and Processing of OERs, have been updated to reflect the new OER forms. Chapter 11, ENS OERs was deleted.

6. DISCLAIMER. This Manual is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

7. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been evaluated for potential records management impact. The development of this Manual has been thoroughly evaluated during the review process, and it has been determined there are no further records scheduling requirement, per Federal Records Act, 44 U.S.C. 3101 et seq., National Archive and Records Administration (MARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This Manual does not have any significant or substantial change to existing records management requirements.

8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

   a. The development of this Manual and the general procedures contained within it have been thoroughly reviewed by the originating office and are categorically excluded under current USCG categorical exclusion (CE) #1 from further environmental analysis, per Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Consideration Environmental Impacts, COMDTINST M16475.1 (series).

   b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS, and Coast Guard NEPA policy, and compliance with all other environmental mandates.

9. FORMS/REPORTS. The forms referenced in this Manual are available in USCG Electronic Forms on the Internet: http://www.uscg.mil/forms/.

M. T. BELL, Jr. /s/
Rear Admiral, U. S. Coast Guard
Commander, Personnel Service Center

| RECORD OF CHANGES | | | |
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| CHANGE NUMBER | DATE OF CHANGE | DATE ENTERED | ENTERED BY |
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Note: Additional / Replacement copies of this Manual or changes may be obtained by downloading them from http://www.uscg.mil/psc/hra/pscinst.asp or http://www.uscg.mil/psc/opm/opm3/opm-3.asp.

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# CHAPTER 1. RATING CHAIN

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 fairness, 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 Reported-on Officer, the Supervisor, the Reporting Officer, and the Reviewer (if applicable).

1. Reported-on Officer.

The Reported-on Officer is the subject of the OES. All Coast Guard commissioned officers are evaluated periodically except reserve officers on the Inactive Standby List and Retired Officers Recalled to Active Duty. The Reported-on Officer shall:

a. Learn the intent and procedures of the OES and identify the members of the rating chain from the unit's published list.

b. Be responsible for managing their performance and requesting mid-term counseling from their rating chain. This responsibility entails determining job expectations, obtaining sufficient performance feedback from the Supervisor during the period, and using that information to meet or exceed standards. Request an appointment with the Supervisor at the beginning and during each reporting period, if clarification of duties and areas of emphasis is needed. This information may be delineated on the Officer Support Form (OSF), Form CG-5308, or other format as specified by the Supervisor. A meeting shall be requested as soon as possible after reporting aboard a new unit. Officers in the grades of ensign and lieutenant (junior grade) must also request initial, mid-term, and end-of-period meetings with their Supervisors.

c. Ensure the required mid-term counseling session takes place and is documented.

d. Forward the OER to the Supervisor not later than 21 days before the end of the reporting period.

e. 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 along with a copy of their updated Employee Summary Sheet (ESS). The Officer Support Form (OSF), Form CG-5308, is optional, but highly recommended, for all officers except ensigns and lieutenants (junior grade). Supplemental information may be submitted through the end of the reporting period.

f. Notify the Supervisor not later than 21 days before the end of the reporting period if the Reported-on Officer desires an end-of period meeting.

g. Inform Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) directly by written communication (e.g., e-mail) if the original validated OER has not been received six months after the end of the reporting period.

h. Review the accuracy and completeness of the EI-PDR. Ensure that all days of commissioned service are covered by OERs. If an OER is missing or a gap in coverage exists, inform the appropriate rating chain. Through coordination with Commander (CG PSC-OPM-3) or (CG PSC-RPM-1), the rating chain shall take necessary action to correct the discrepancy.

i. Ensure that non-Coast Guard rating officials are provided a copy of this Manual, appropriate forms, and other guidance provided by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1).

j. Review reference (c), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, PSCNOTE 1401.5 (series), and reference (d), Performance, Training, and Education Manual, COMDTINST M1500.10 (series), and manage performance to ensure that OERs are not delayed when eligible for promotion or applying for advanced training.

k. Assume ultimate responsibility for managing their 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.

l. Submit OER rating chain exceptions in accordance with COMDTINST 1000.3(series) Article 5.D.5. and Article 1.B. of this Manual during the period of report, but not later than 60 days after the reporting period.

2. Supervisor.

a. Designation. The Supervisor is normally the individual to whom the Reported-on Officer reports to on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements. The following guidance is provided for the designation of the Supervisor:

[1]. 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.

[2]. 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.

[3]. 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).

[4]. 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.

[5]. For officers in the grade of W4/O1 (Form CG-5310B), the Supervisor and Reporting Officer are required to be two separate members, regardless of rank.

b. Responsibilities. The Supervisor shall:

[1]. Evaluate the performance of the Reported-on Officer in the execution of their duties.

[2]. Provide direction and guidance to the Reported-on Officer regarding specific duties and responsibilities.

[3]. Discuss at the beginning of the period, upon request, or when deemed necessary, the Reported-on Officer's duties as prescribed by Article 1.A.1 of this Manual and areas of emphasis.

[4]. Encourage the use of the Officer Support Form (OSF), Form CG-5308, (required for ensigns and lieutenants (junior grade) or other appropriate means, to note important aspects of the Reported-on Officer's performance during the reporting period. Significant events, problems, achievements, shortcomings, or personal qualities should be noted.

[5]. Provide 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.

[6]. Counsel the Reported-on Officer during and at the end of the reporting period if requested, or when deemed appropriate, regarding observed performance. Discuss duties and responsibilities for the subsequent reporting period and make suggestions for improvement and development.

[7]. Provide mid-term counseling as requested by the Reported-on Officer.

[8]. Finalize the optional or required Officer Support Form (OSF), Form CG-5308, if used.

[9]. Initiate an OER if the Reported-on Officer is unavailable, unable, or unwilling to initiate one in a timely manner. Forward the OER; the Officer Support Form (OSF), Form CG-5308, (if used or required); ESS; OER attachments; and any other relevant performance information to the Reporting Officer not later than 10 days after the end of the reporting period.

[10]. Provide the incoming Supervisor a draft of the Supervisor portion of the OER 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.

3. Reporting Officer.

a. Designation. The Reporting Officer is normally the Supervisor of the Supervisor. The following guidance is provided for the designation of the Reporting Officer:

[1]. 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.

[2]. 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. Notify Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) when this policy cannot be met.

[3]. The Reporting Officer for a Reported-on Officer other than the commanding officer will normally be designated no higher than the unit's commanding officer.

[4]. The following personnel can be both Supervisor and Reporting Officer for their immediate subordinates:

[a]. Any officer, lieutenant or above, who serves as a commanding officer,

[b]. Any civilian member of the Senior Executive Service (SES), or

[c]. Any O5 or above (includes non-Coast Guard military officers and officers frocked to O5).

[5]. For officers in the grade of W4/O1 (Form CG-5310B), the Supervisor and Reporting Officer are required to be two separate members, regardless of rank. Only Coast Guard commissioned officers may serve as the Reporting Officer.

[6]. Only a Coast Guard flag officer or Coast Guard SES may serve as both the Reporting Officer and Reviewer on the same OER.

[7]. Reporting Officers for captains shall be a Coast Guard flag officer or SES with the exception of:

[a]. Permanent Commission Teaching Staff (PCTS) where the Dean of Academics may be the Reporting Officer, or

[b]. 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).

[8]. The Headquarters program manager having technical responsibility for the unit will be the Reporting Officer for commanding officers of Headquarters units.

[9]. 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.

[10]. 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.

[11]. 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.

[12]. Any exceptions not specifically cited herein must be authorized by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1).

b. Responsibilities. The Reporting Officer shall:

[1]. Evaluate the Reported-on Officer based on direct observation, the Officer Support Form (OSF), Form CG-5308, other information provided by the Supervisor, and other reliable reports and records.

[2]. Prepare Reporting Officer section of the OER and describe the overall potential of the Reported-on Officer for promotion and special assignment such as command.

[3]. Ensure 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 (if applicable). The Reporting Officer shall not direct that an evaluation mark or comment be changed, unless the comment is prohibited under Article 5.I. of reference (a) and Article 4.B. of this Manual. Instead, they have the option to select 'Do Not Concur' and explain why in the Reporting Officer Comments block.

[4]. Forward the completed OER to the Reviewer and return the Officer Support Form (OSF), Form CG-5308, if used, to the Reported-on Officer.

[5]. The Reporting Officer is required to provide the Reviewer with a copy of their most recent comparison scale history. Non-Coast Guard Reporting Officers or civilians are not required to provide a comparison scale history. See Article 4.F.2.g for how to obtain the comparison scale history.

[6]. Initiate an OER if the Supervisor does not perform their duties in a timely manner. Ensure the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.

[7]. Provide timely performance feedback to the Reported-on Officer during and at the end of each reporting period and at such other times as the Reporting Officer deems appropriate. Provide mid-term counseling as requested by the Reported-on Officer.

[8]. If the Reporting Officer changes and a complete OER is not required by Article 5.E.3. of reference (a) and Article 8.C.2. 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.

4. Reviewer.

a. Designation. 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. The following guidance is provided for the designation of the Reviewer:

[1]. Only Coast Guard commissioned officers, the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11), or Coast Guard SES members, may serve as Reviewer.

[2]. 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., commanding officer 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.

[3]. 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 next flag officer or SES in the rating chain will serve as the Reviewer.

[4]. No one may serve as Supervisor, Reporting Officer, and Reviewer on the same OER except the Commandant (CCG) 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.

[5]. 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, Reviewer.

[6]. The Reviewer of a captain's OER must be a Coast Guard flag officer or Coast Guard SES member.

[7]. 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 commanding officer (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 commanding officer designates the rating chain. However, the Judge Advocate General shall provide additional comments on the Comments Form, CG-5315, to document judiciary performance only. 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 additional comments.

b. Responsibilities. The Reviewer shall:

[1]. Ensure the OER reflects a reasonably consistent picture of the Reported-on Officer's performance and potential.

[2]. If necessary, add comments, using the Reviewer Comments block on Form CG-5310 (series). These comments should only be submitted to comment on performance and/or potential which is significantly different than the Supervisor or Reporting Officer. These comments can be positive or negative in nature.

[3]. Ensure the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES and meets all submission schedules. The Reviewer shall return an OER to the Reporting Officer to correct errors, omissions, or inconsistencies between the evaluation and written comments (as applicable). However, the Reviewer shall not direct in what manner an evaluation mark or comment be changed unless it is prohibited by Article 5.I. of reference (a) and Article 4.B. of this Manual.

[4]. Counsel 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. Provide for mid-term counseling as requested by the Reported-on Officer.

[5]. Ensure all Reported-on Officers review and sign their OER.

[6]. Expedite the reviewed report in a reasonable time to ensure the OER is received by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) no more than 45 days after the end of the reporting period.

B. 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 suitable for 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 Officer Support Form (OSF), Form CG-5308; however, that fact alone does not invalidate the OER.

2. Definitions. As used within this subparagraph:

   a. "Unavailable" includes illness, injury, death, prolonged absence, 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 or removal from primary duties 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.

3. 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 60 days after the end of the reporting period.

## CHAPTER 2. PREPARATION AND USE OF THE OFFICER SUPPORT FORM (OSF), FORM CG-5308 (SERIES)

A. General

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), and highly recommended for all other officers.* If a documentation format other than the OSF is used, general adherence to the major sections of the OSF is encouraged. All restrictions that apply to the OER also apply to the OSF.

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 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 Memorandums 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 no less than 21 days before the end of the reporting period.

C. The Form

Officer Support Form (OSF), Form CG-5308 (series), should 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 / Shortcomings for the Reporting Period
5. Supervisor Comments on Reported-on Officer Accomplishments / Shortcomings
6. Performance Observations

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 OF REPORT. The period of time covered by the information noted in the form. This period is normally the same as the OER reporting period.

2. Section 2a, Description of Duties.

   a. This space provides an 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 (e.g., completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses). The OSF can be used in conjunction with the Individual Development Plan (IDP), Form, CG-6021 (series), which is a personally tailored action plan that the Supervisor and Reported-on Officer use to identify short and long-term personal and career goals. As outlined in Coast Guard Individual Development Plan (IDP), COMDTINST 5357.1 (series), the IDP is not a performance evaluation method, a contract for training, or a means for clarifying or revising a position description.

4. Section 2c, Initial Meeting.

   a. This section is 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 should 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 and return the original to the Reported-on Officer.

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 the Reported-on Officer's ability to attain the expected results.

6. Section 4a, Accomplishments / Shortcomings for the Reporting Period.

   a. In this section, the Reported-on Officer may list accomplishments and progress towards 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 submits the OSF no later than 21 days before the end of the reporting period along with a copy of their Employee Summary Sheet (ESS).

7. Section 4b, End of Period Meeting.

   a. The Reported-on Officer uses this section to notify the Supervisor if 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 / Shortcomings for the Reporting 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-d, 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 prudent judgment 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.

   e. The Reported-on Officer can use this section to list significant achievements or aspects of performance which occurred during the period of report.

E. Disposition of the OSF

1. There are different ways to use the OSF. Below describes 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 their evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.

2. When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from their 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, ESS, the OER, and any other information available to the Reporting Officer. A copy of the ESS can be located at: http://cgbi.osc.uscg.mil/2.0/contentpanes/personal_files/summary_sheet.cfm/

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, etc, 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 potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.

## CHAPTER 3. MID-TERM COUNSELING

A. General

1. Effective and timely feedback is a critical component of successful performance evaluation and should be used in conjunction with establishing and managing goals. Officers need to know in a timely manner how they are performing, what they are doing well and areas of improvement. This feedback can come from many different sources, including rating chain members.

2. If the Reported-on Officer is unavailable or did not request and/or complete the required mid-term counseling, this must be documented on the OER. For CG-5310A and CG-5310C, the Reviewer shall address this in Section 6, Reviewer Comments. For CG-5310B, the Reporting Officer shall address on the Comments Form, CG-5315.

B. Intent

The intent of this mandate is to support officer ownership and development, and positively influence good communications throughout the reporting period. Ideally, the Reported-on Officer should not be "surprised" with their OER at the end of period. The rating chain shall ensure each Reported-on Officer receives regular feedback, including mid-term counseling.

C. Roles

The Reported-on Officer is responsible to ensure this mid-term counseling session takes place and is documented. Rating chain members should be available to support these requests. The counseling can be conducted by any member of the rating chain.

D. Timing

CG PSC-OPM-3 and CG PSC-RPM-1 do not dictate when mid-term counseling should occur. There is one mid-term counseling session required per reporting period. Ideally, this would occur midway through the Reported-on Officer's period of report.

E. Resources

The following suggestions are listed as starting places and/or ideas to assist with mid-term counseling. They are just suggestions, not official guidance or requirements on how mid-term counseling should be conducted.

1. The Coast Guard's Office of Leadership, Commandant (CG-12C), provides information and resources for professional development, recognizing exceptional leadership, and establishing policies to sustain leaders of character at all levels.

2. The Department of Homeland Security's Coaching Collaborative offers resources to demonstrate the impact of coaching on organizational and individual performance. Officers may also find information on connecting to internal and external coaching resources through the Collaborative.

3. Additional suggestions to assist with mid-term counseling are the use of an Officer Support Form or Individual Development Plan.

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# CHAPTER 4. PREPARATION AND PROCESSING OF OERS

A. General

1. This section describes the procedures for preparing and processing OERs. Members of the rating chain should prepare reports with care. They should review the Commandant's Guidance on the OER form and have a responsibility to ensure that comments are clear, concise, accurate, and timely.

2. The OER is a series of forms used to document the performance and potential of Coast Guard officers. The completion of an OER is a critical leadership responsibility. Inherent in this duty is the commitment of rating chains to ensure the integrity of the system by giving close attention to accurate marking, narrative assessment, and timely reporting. Inaccurate evaluations only serve to dilute the actual value of each report and the OES as a whole.

3. Forward OERs to arrive at CG PSC-OPM-3 or CG PSC-RPM-1 not later than 45 days following the end of the reporting period unless otherwise noted in Chapter 8 of this Manual. OER form software will default to the desired font type and size. Adjustment of the font type and size is prohibited.

4. Reports in all capital letters are prohibited.

5. Text enhancements, e.g., underlining, boldface, all capital letters, and font size deviations are not allowed, except names of vessel, operations and acronyms.

6. 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.

7. 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.

8. Calendar Function. The calendar function allows for easy date selection. At the top of the calendar the "current month, year", e.g. August, 2016 is visible.

   a. To select a different year, click the "current month, year" twice and select the year desired.

   b. Select the desired month.

   c. Select the desired day.

9. Signatures. OERs require the rating chain's signature.

   a. Electronic Signature. Rating chains with Common Access Card (CAC) capabilities may electronically sign the signature block on the OER form. The use of electronic signatures is not mandatory but highly encouraged to reduce storage space and better clarity. Handwritten signatures only or a combination of electronic and handwritten signatures are authorized.

   b. Reported-On Officers Review and Signature. The Reported-on Officer OER review and signature occurs after the final rating chain member has signed the OER. Once the Reported-on Officer signs the OER (either handwritten or electronic), the OER is submitted via email to CG PSC-OPM-3 or CG PSC-RPM-1. The Reported-on Officer's signature indicates they have reviewed the completed OER, to include ensuring accuracy of the information in Section 1. *It does not mean the Reported-on Officer agrees or disagrees with the content of the OER.*

   c. Reported-on Officers Unavailable for Signature. Only in *extraordinary* circumstances will the Reported-on Officer signature not be required. Examples include but are not limited to: medical disability of the Reported-on Officer, incarceration or discharge of the Reported-on Officer, etc. In these rare instances where the Reported-on Officer cannot review the OER, the Reviewer shall complete Section 6, Reviewer Comments, with an explanation of why the Reported-on Officer could not review the OER. For CG-5310B, the Reporting Officer shall complete a Comments Form, CG-5315, with an explanation on why the Reported-on Officer could not review the OER. Transfer of a Reported-on Officer is not an extraordinary circumstance.

10. Email Function. Commands are encouraged to use the email function embedded in the form. When using this function, click on the email button on the form. Choose Outlook (Default). This will open a new email in Outlook, with the OER automatically included as an attachment. You will have the normal capabilities within the email, but will not be able to complete other tasks with Adobe (i.e. open or read other Adobe files) or use other Outlook functions until this email has been sent or cancelled.

11. OER Exceptions. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER. Exceptions to the normal OER submission schedule will not be granted without indicating extraordinary circumstances. No OER period of report shall exceed 30 months for biennial reports, 18 months for annual reports, or 12 months for semiannual reports, excluding a DUINS period. Exceptions to this policy will not be granted by CG PSC-OPM-3 or CG PSC-RPM-1.

    a. Occasion for Exceptions: The Reported-on Officer may request an exception to the submission schedule, including deadlines for derogatory OER addenda and Reported-on Officer OER Replies.

b. Submission: Written requests shall be submitted via email by the Reported-on Officer no later than 45 days prior to the scheduled end of period to CG PSC-OPM-3 or CG PSC-RPM-1 via the rating chain. The following information shall be included in the waiver request; the Reported-on Officer's EMPLID, phone number, requested period of report, and specific reason(s) for the waiver request.

B. Prohibited Comments

Members of the rating chain shall not:

1. Mention a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, Personnel Records Review Board (PRRB), CG Board for Correction of Military Records (BCMR), or any other investigation (including discrimination investigations) except as provided in Article 5.F.3. of Reference (a) and Chapter 15 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. 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.K. of Reference (a) and Chapter 17 of this Manual.

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 the Manual for Courts-Martial, M.C.M., 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsel's 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 non-voluntary 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 not fit for duty 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, sexual orientation, or ethnic background.

8. Place emphasis upon a third party by gender, religion, color, race, sexual orientation, 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.E.7. and 5.F.3. of Reference (a) and Chapter 10 and Chapter 15 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. OERs must not comment on non-military Coast Guard paid employment, including IDPL scheduled officers who are employed as civilians with the Coast Guard.

C. Forms

Use the following forms for the appropriate pay grade:

| GRADE | FORM |
|---|---|
| Captain | CG-5310C |
| Commander | CG-5310A |
| Lieutenant Commander | CG-5310A |
| Lieutenant | CG-5310A |
| Lieutenant (junior grade) | CG-5310A |
| Ensign | CG-5310B |
| Chief Warrant Officer 4 | CG-5310B |
| Chief Warrant Officer 3 | CG-5310A |
| Chief Warrant Officer 2 | CG-5310A |

**Table 4-1 OER Forms**

D. Reported-on Officer Preparation

1. 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. In cases of geographic separation, telephone or written exchange of information may suffice.

2. Mandatory mid-term counseling. All Reported-on Officers (W2-O6) must request and receive mid-term counseling from a member of their rating chain.

3. Section 1, Administrative Information. The Reported-on Officer completes all items in this section, 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. The ESS is a quick and reliable tool to validate information in Section 1.

| 1. ADMINISTRATIVE INFORMATION: | | | | | | |
|---|---|---|---|---|---|---|
| a. REPORTED-ON OFFICER NAME (Last) (Initials) | | | b. UNIT | | | |
| c. PERIOD OF REPORT to | d. OCCASION FOR REPORT | e. GRADE | f. EMPLID | g. DATE OF RANK | h. DATE REPORTED | |
| i. MID-TERM COUNSELING DOCUMENTATION Mandated. See PSCINST M1611.1(series) for guidance. | j. DATE COUNSELED | k. COUNSELOR NAME | l. ROO SIGNATURE | | | |

a. NAME. Last name, first and middle initials only.

b. UNIT. Identification of the unit to which permanently attached, e.g., MSST Los Angeles/Long Beach or MSU Savannah. For Concurrent OERs, use the temporary unit name as indicated in their orders.

c. PERIOD OF REPORT. Use the calendar function to select to select the dates for the 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.)

d. OCCASION FOR REPORT. Select the occasion of report from the drop down menu which has prompted the OER submission. The occasion of report will dictate the end of period date, i.e. annual OERs are due on the last day of the month in accordance with the submission schedule in Table 8-1 of this Manual.

e. GRADE. Select the member's pay grade at the end of period date from the drop down menu. Frocked officers must use the report form appropriate to their pay grade, not their frocked grade. This excludes Captains serving as Flag officers.

f. EMPLID. Enter Employee ID number in this block.

g. DATE OF RANK. Use the calendar function to select date of rank. Confirm date of rank in Direct Access, or the ESS.

h. DATE REPORTED. Use the calendar function to select date reported. Indicate the actual date reported to current PRIMARY DUTY as shown in Direct Access, or the ESS.

i. MID-TERM COUNSELING DOCUMENTATION. See Chapter 3 for more details.

j. DATE COUNSELED. Use the calendar function to select the date the Reported-on Officer received mid-term counseling.

k. COUNSELOR'S NAME. Type the name of the rating chain member who conducted the counseling.

l. ROO SIGNATURE. The Reported-on Officer must sign (handwritten or electronic signature) to acknowledge they requested and received mid-term counseling from a rating chain member. The date the Reported-on Officer signs does not have to match the date the counseling actually took place. When the Reported-On Officer is unavailable for signature or did not complete the required mid-term counseling, refer to Article 5.A.2. of this Manual.

m. After signing the OER, the Reported-on Officer submits it to the Supervisor via the electronic submission button, together with the OSF (if used), ESS, and any other authorized documentation or information.

E. Supervisor Preparation

1. Section 2, Description of Duties.

a. PRIMARY DUTY. Provide the Reported-on Officer's Primary Duty title.

[1]. Normally matches the PAL Position Title.

[2]. Abbreviations are acceptable in this block.

[3]. If the Reported-on Officer transferred on PCS orders during the period of report the Primary Duty line can state both Primary Duty titles assigned during the period of report. In this case, length of time may be noted, if space allows. Example below:

| | |
|---|---|
| a. PRIMARY DUTY: DWO (3 MONTHS)/ PSCO (2 MONTHS) | b. PAL POSITION TITLE: MARINE INSP/PSCO-APPRENTICE |

b. PAL POSITION TITLE. This block must be verbatim; it is defined in the unit Personnel Allowance List (PAL) as shown in Direct Access and is the position indicated on the Reported-on Officer's Employee Summary Sheet. It may differ from the primary duty listed in Block 2a.

c. The Supervisor writes a summary of the most important aspects of the Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Include number of people supervised, funds controlled, and unit operations or organizational relationships as appropriate. Define highly technical terms or uncommon acronyms. 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.

d. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not their primary Supervisor, the primary 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. When the Reported-on Officer transfers during the period of report and a Detachment of Officer OER is not required, then the subsequent OER may include description of both primary duties and responsibilities of those positions.

f. Describe the duties and responsibilities for officers with limited opportunity to perform per Articles 5.C.6. and 5.C.7. of Reference (a).

g. If observations are believed to be inadequate to render a judgment, the 'Not Observed' circle is used. The reason for the 'Not Observed' *must be briefly stated* in Section 2 or in the appropriate comments blocks.

2. <u>Section 3, Evaluation.</u>

a. This section is designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:

[1]. Performance of Duties

[2]. Leadership Skills

[3]. Personal and Professional Qualities

b. The Supervisor will mark the Reported-on Officer on all dimensions. Several performance dimensions (rating scales) define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, at standard, or above standard. A space for supporting comments follows each set of dimensions.

c. <u>Enable JavaScript.</u> In order to use the full functions of the form, the user must enable JavaScript functions. After opening the form, the user must select the Options field (see Figure 4-1) at the top of the form and select "*Enable JavaScript for this document always.*"

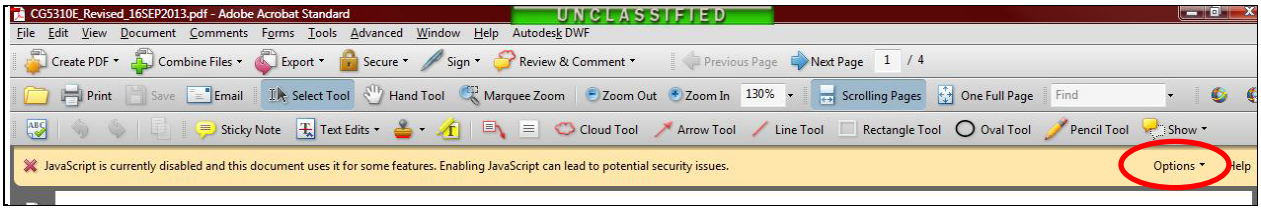
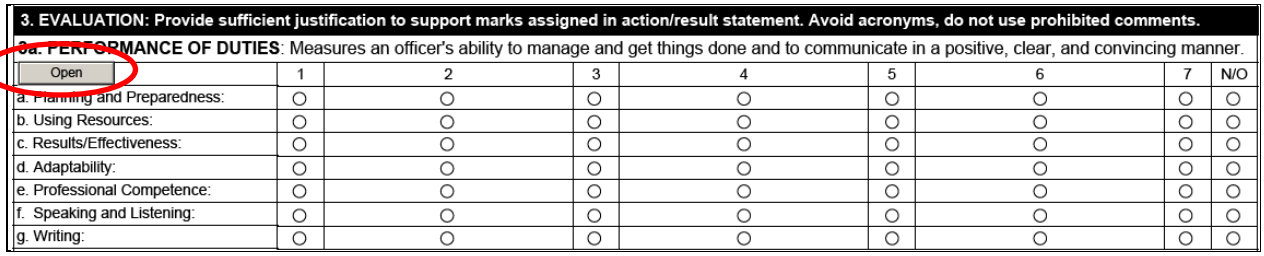



**Figure 4-1 JavaScript Function**

d. Float Over Marks Function. After enabling JavaScript, the Officer Evaluation Form, will be one page (CG-5310B) or two pages (CG-5310A/C). The additional pages containing the performance dimensions are hidden and the user will be able to view them when they select the "Open" button and then select the appropriate numerical mark. That numerical mark value will then show up on the form. Figure 4-2 shows how to bring up the performance dimensions to view them. The user clicks the "Open" button next to each performance category to open a separate document. Once the user has the performance dimensions in view, they can then review the criteria and select the appropriate numerical mark.



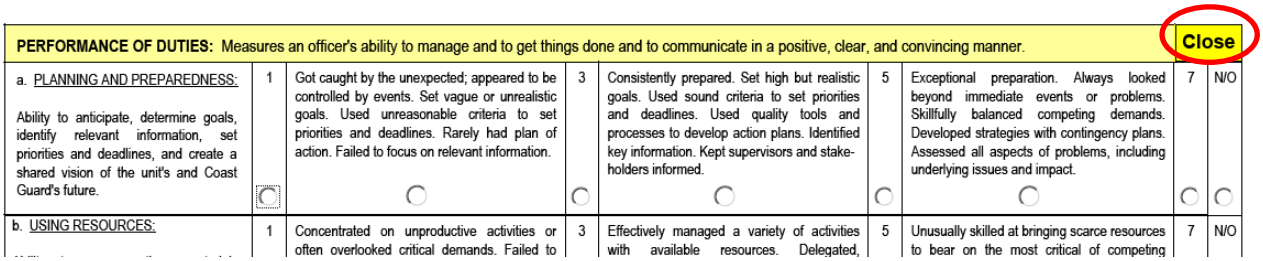
**3. EVALUATION: Provide sufficient justification to support marks assigned in action/result statement. Avoid acronyms, do not use prohibited comments.**

**3a. PERFORMANCE OF DUTIES**: Measures an officer's ability to manage and get things done and to communicate in a positive, clear, and convincing manner.

| Open | 1 | 2 | 3 | 4 | 5 | 6 | 7 | N/O |
|---|---|---|---|---|---|---|---|---|
| a. Planning and Preparedness: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| b. Using Resources: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| c. Results/Effectiveness: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| d. Adaptability: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| e. Professional Competence: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| f. Speaking and Listening: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| g. Writing: | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |

**Figure 4-2 Float Over Marks Function**

e. To close the document and return to the evaluation, the user clicks the "Close" in the top right corner – see red circle in Figure 4-3. After closing, the performance dimensions numerical mark selection will appear on the form. The OER can be printed with this selection page open. To do this, do not close the pages and then print the OER.



**PERFORMANCE OF DUTIES:** Measures an officer's ability to manage and to get things done and to communicate in a positive, clear, and convincing manner. **Close**

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| a. PLANNING AND PREPAREDNESS: Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and create a shared vision of the unit's and Coast Guard's future. | 1 | Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information. | 3 | Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stake-holders informed. | 5 | Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact. | 7 | N/O |
| b. USING RESOURCES: | 1 | Concentrated on unproductive activities or often overlooked critical demands. Failed to | 3 | Effectively managed a variety of activities with available resources. Delegated, | 5 | Unusually skilled at bringing scarce resources to bear on the most critical of competing | 7 | N/O |

**Figure 4-3 Performance Dimension View and Document Closure**

f. For each evaluation area, the Supervisor reviews the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor must carefully read the standards and compare the Reported-on Officer's performance to the level of

performance described by the standards. The Supervisor must 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. Refer to Table 4-2 below and Chapter 19 in determining the appropriate mark to assign to each performance dimension. Inflationary markings dilute the actual value of each evaluation, rendering the OES and the OER itself ineffective.

| MARK | MEANS THE MEMBER CONSISTENTLY |
|---|---|
| 1 | (Derogatory) – Met all the written performance standards in the "2" level and the rater considered the impact severely detrimental to the organization or to others. |
| 2 | (Below standard) – Met all the written performance standards in this level. |
| 3 | Did not meet all the written performance standards in the "4" block. |
| 4 | (Standard) – Met all the written performance standards for this level and none in the "6" level. |
| 5 | Met all the written performance standards in the "4" level and at least one of those in the "6" level. |
| 6 | (Above Standard)– Met all the written performance standards for this level and did not exceed any of them. |
| 7 | Met all the written performance standards in the "6" level and exceeded at least one of them. |

**Table 4-2 Performance Dimension Marking**

g. Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the 'Not Observed' circle is used. The reason for the 'Not Observed' *must be briefly stated* in Section 2 or in the appropriate "comments" blocks.

h. Comments required for CG-5310A and CG-5310C.

[1]. In the "comments" block following each evaluation area, the Supervisor includes comments citing specific aspects of the Reported-on Officer's performance and behavior. Well crafted comments may apply to more than one dimension. Decreased comment space will require concise yet readable supporting verbiage and allow more flexibility to comment on significant performance. The Supervisor draws on their observations, those of any secondary Supervisors, and other information accumulated during the reporting period.

[2]. 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 1, 2, 3, and 7. Those assigned the

superlative mark of seven should have specific comments demonstrating how they exceeded the six “above standard” block.

i. Comments required for CG-5310B.

[1]. After marking all performance dimensions the Supervisor *selects the three performance dimensions that best characterize the Reported-on Officer* by selecting the appropriate circles on the form. The three selected performance dimensions shall be supported in Section 3 of the OER. It is not necessary or required to comment on all 18 performance dimensions.

[2]. In addition, *each* substandard mark shall be supported in Section 3 of the OER. If additional space is needed to support the substandard marks, Comments Form CG-5315 should be used. The requirement to comment on the three performance dimensions that best characterize the Reported-on-Officer *is in addition to* the requirement to support each substandard mark. When the Supervisor has finished his/her comments in Section 3, they should ask themselves the following two questions:

[a]. Did I comment on the three performance dimensions that best characterize this officer? (those bubbled in Sections 3), and

[b]. Did I comment on each substandard performance dimension (if they apply)?

[3]. If you answered yes to both questions, you have complied with the required comments. Comments should be more narrative and not a listing of accomplishments (e.g. explain *why* you chose to select Writing as a performance dimension to characterize this officer, not simply listing how many memos, awards or messages they wrote).

j. Comments should amplify and be consistent with the numerical evaluations (if applicable). They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to accurately portray the officer’s performance and qualities which compares reasonably with the standards defined and 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.

k. Citing weaknesses does not make the OER derogatory. Derogatory OERs are identified in Article 5.H.1. of Reference (a) and Article 6.A. of this Manual.

l. All comments must be confined to the space allotted to the Supervisor. Comments shall not be continued from one comment block to another.

m. Any officer who receives an Alcohol (AI) or Drug Incident (DI) has not met the expected standards of performance for the Judgment performance dimension. Therefore, a mark of '4' or higher in the Judgment performance dimension is not authorized. Rating chains may determine whether substandard performance of this nature should impact other OER performance dimensions (i.e., Responsibility, Professional Presence, etc.).

n. The date the Commanding Officer determines an AI or DI occurred is the determinant for which OER period should be impacted, not the actual date of the incident. For example, a CDR receives a DUI on 22 March and is issued an AI memo on 12 April. If the CDR is on a regular annual OER submission schedule, the AI shall be reflected in the OER cycle which starts on 01 April.

o. Any officer who receives either an AI or DI or is not compliant with USCG weight and body fat standards has not met the expected standards of performance for the Health and Well-Being performance dimension. Therefore, a mark of '4' or higher in the Health and Well-Being performance dimension is not authorized.

p. Officers found non-compliant with USCG weight and body fat standards shall have this documented in the OER period in which non-compliance occurred (i.e. April weigh-in, October weigh-in, weigh-in for pre-Resident Training, weigh-in for reservists ordered to active duty, etc). Officers who have an approved medical abeyance for weight from CG PSC- Personnel Services Division (PSD) are excluded from this requirement.

3. Section 4, Supervisor Authentication.

| 4. SUPERVISOR AUTHENTICATION: | | | | Click here - email form to RO |
|---|---|---|---|---|
| a. First, Middle Initial, Last Name | b. GRADE | c. EMPLID | d. POSITION TITLE | e. DATE |

a. SIGNATURE. The Supervisor's signature verifies completion of their OES responsibilities, the evaluation is fair and accurate, and they attest that their comments are their own and reflect the Reported-on Officer's performance during the period of report. A typed name must accompany the signature, regardless if a handwritten or electronic signature is used. Include Service abbreviation if other than Coast Guard. Once the Supervisor electronically signs the OER, this will lock the Supervisor's section.

b. GRADE. Select the two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc from the drop down menu. If frocked use frocked grade.

c. EMPLID. Enter Employee ID number in this block. A non-Coast Guard Supervisor leaves this block blank.

d. POSITION TITLE. Abbreviations are acceptable in this block. Examples include Chief, Administration Division; Commanding Officer; CO, MFPU Bangor, etc.

e. DATE. Use the calendar function to select the date the Supervisor submitted the evaluation to the Reporting Officer. The Supervisor can sign the OER prior to the end of period of report; ideally this is no earlier than 21 days.

f. After signing the OER, the Supervisor submits it to the Reporting Officer via the electronic submission button, together with the OSF (if used), ESS, and any other authorized documentation or information.

F. Reporting Officer Preparation

1. Section 5, Reporting Officer Authentication. The Reporting Officer must select 'Concur' or 'Do Not Concur' with the Supervisor's evaluation. If the Reporting Officer is also the Supervisor, they must select 'RO is Supervisor'.

2. Section 5, Comparison, Promotion, and Rating Scales.

a. Comparison Scale, Form CG-5310A and CG-5310B. The Reporting Officer fills 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.] The visual graphic shows expected (not required) distribution.

b. Promotion Scale on Officer Evaluation Report (OER), Form CG-5310A.

[1]. In addition to the comparison scale, the Reporting Officer is required to fill in one Promotion Scale mark.

[2]. For the Promotion Scale, the Reporting Officer must select 'Recently promoted' if the Reported-on Officer has less than 12 months in grade for annual OERs and less than 6 months in grade for semi-annual OERs.

[3]. The Reporting Officer may select 'Already selected to next paygrade', if applicable. The Reporting Officer may still make a promotion recommendation for any officer whose promotion is still pending and is not obligated to mark 'Already selected to next paygrade'.

c. Rating Scale on Officer Evaluation Report (OER), Form CG-5310C. The Reporting Officer fills in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.

d. Rating Scale for Permanent Commission Teaching Staff (PCTS), Form CG-5310C. PCTS Captains are exempt from marking the block 5 rating scale as they are ineligible for promotion to flag officer. Any recommendation for a position of greater responsibility must be mentioned in the Reporting Officer Comments.

e. A mark of 'Unsatisfactory' defines the report as Derogatory and requires compliance with Article 5.H. of Reference (a) and Chapter 6 of this Manual.

f. 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 2.

g. The Reporting Officer is required to provide the Reviewer with a copy of their most recent comparison scale history. Non-Coast Guard Reporting Officers or civilians are not required to provide a comparison scale history. The Reporting Officer can obtain their comparison scale history in Direct Access as follows: HOME > EMPLOYEE >VIEW > OFF COMPARISON SCALE SUMMARY.

h. Coast Guard officers who are the Reporting Officer must denote that they provided their Comparison Scale history to the Reviewer by selecting 'I provided my comparison scale history to the Reviewer'.

3. Section 5, Reporting Officer Comments.

a. This section provides an opportunity for the Reporting Officer to comment on the Supervisor's evaluation. 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. Reporting Officer Comments may not include continuing comments from any other comment block. However, the Reporting Officer may expand on portions of the OSF which were not discussed by the Supervisor and the Reporting Officer believes are important.

c. The Reporting Officer comments on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard.

d. No specific comments are required to support the Reporting Officer's judgment for the Comparison, Promotion, and Rating Scales. 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.

e. 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, or post-graduate education for which the Reported-on Officer is qualified or shows aptitude.

[3]. Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.

f. Length of Comments. Comments must be confined to the allotted space on the form.

4. Section 5, Reporting Officer Signature.

| | | | | |
|---|---|---|---|---|
| | | | | Click here - email form to Reviewer |
| e. First, Middle Initial, Last Name | f. GRADE | g. EMPLID | h. POSITION TITLE | i. DATE |

a. SIGNATURE. The Reporting Officer's signature verifies completion of their OES responsibilities, the evaluation is fair and accurate, and they attest that their comments are their own and reflect the Reported-on Officers performance during the period of report. A typed name must accompany the signature, regardless if a handwritten or electronic signature is used. Include Service abbreviation if other than Coast Guard. Once the Reporting Officer electronically signs the OER, this will lock the Reporting Officer's section.

b. GRADE. Select the two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc from the drop down menu. If frocked use frocked grade.

c. EMPLID. Enter Employee ID number. A non-Coast Guard Reporting Officer leaves this blank.

d. POSITION TITLE. Abbreviations are acceptable in this block. Examples include Chief, Administration Division; Commanding Officer; CO, MFPU Bangor, etc.

e. DATE. Use the calendar function to select the date the Reporting Officer submitted the evaluation to the Reviewer. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-period is prohibited*.

f. After signing the OER, the Reporting Officer submits it to the Reviewer via the electronic submission button, together with the OSF (if used), ESS, and any other authorized documentation or information.

G. Reviewer Preparation

1. Section 6, Reviewer Authentication.

| | | | | |
|---|---|---|---|---|
| **6. REVIEWER AUTHENTICATION:** | a. ● Concur ○ Comments regarding performance and/or potential significantly different than Supervisor or RO | | | |
| b. FIRST, MIDDLE INITIAL, LAST NAME | c. GRADE | d. EMPLID | e. POSITION TITLE | f. DATE |
| g. ATTACHMENTS: | | | | Click here - email form to ROO |

a. REVIEWER COMMENTS. Reviewer must select 'Concur' or 'Comments regarding performance and/or potential significantly different than Supervisor or RO'. If 'Concur' is selected no additional comments are allowed. If 'Comments

regarding performance and/or potential significantly different than Supervisor or RO' is selected, the Reviewer has five lines of text to provide comments. These concise comments must be of a value-add nature, and can be positive or negative. Refer to Chapter 5 of this Manual for additional guidance.

b. SIGNATURE. The Reviewer's signature verifies completion of their OES responsibilities, the evaluation is fair and accurate, and they attest that their comments are their own and reflect the Reported-on Officers performance during the period of report. A typed name must accompany the signature, regardless if a handwritten or electronic signature is used. Include Service abbreviation if other than Coast Guard. Once the Reviewer electronically signs the OER, this will lock the Reviewer's section.

c. GRADE. Select the two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc from the drop down menu. If frocked use frocked grade.

d. EMPLID. Enter Employee ID number.

e. POSITION TITLE. Abbreviations are acceptable in this block. Examples include Chief, Administration Division; Commanding Officer; CO, MFPU Bangor, etc.

f. DATE. Use the calendar function to select the date the Reviewer completed the review. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-period is prohibited*.

g. ATTACHMENTS. Only certain attachments are authorized. Awards are not authorized attachments.

[1]. Copies of punitive letters of censure (Reprimand and Admonition) and copies of Court Memorandums must be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed, per Articles 5.F.3. and 5.I. of Reference (a). Administrative letters of censure may not be referred to or appended to the OER (Article 1.E.4. of the Discipline and Conduct, COMDTINST M1600.2 (series)). However, the facts upon which an administrative letter of censure is based may be the basis for adverse marking or comments in the OER.

[2]. The Comments Form, CG-5315, is authorized as an attachment with form CG-5310B when more space is needed to ensure documentation for all substandard performance.

[3]. Reported-on Officers out of specialty who perform collateral duties as a military judge are authorized to attach the Comments Form, CG-5315, to document their judicial duties.

h. After signing the OER, the Reviewer submits it to the Reported-on Officer via the electronic submission button, together with the OSF (if used), ESS, and any other authorized documentation or information.

H. Reported-on Officer Signature.

| 7. REPORTED ON OFFICER: | I understand my signature does not constitute agreement or disagreement. I acknowledge I have reviewed the report. | | |
|---|---|---|---|
| a. SIGNATURE: | b. DATE | Active duty click here- email form to PSC-OPM-3 | Reserve click here - email form to PSC-RPM-1 |

1. SIGNATURE. The Reported-on Officer 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 CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature, refer to Article 5.A.1. of this Manual.

2. DATE. Use the calendar function to select the date the Reported-on Officer was counseled on the OER.

3. Once the OER has been completed and signed by all members in the rating chain the OER must be submitted to CG-PSC-OPM-3 or CG-PSC-RPM-1. The preferred method of submission is to use the email submission buttons embedded in the form. Commanding Officers shall determine the unit's procedures on how to submit OERs to CG-PSC-OPM-3 and CG-PSC-RPM-1. For example, the Reported-on Officer can send it to CG-PSC-OPM-3/CG-PSC-RPM-1 and 'cc' all rating chain members. Another example would be they could send it to a single point of contact (i.e. an OER administrator or an admin officer) at the command on the email attached to the final OER submission button and then that person could send it to the appropriate CG-PSC email address.

## CHAPTER 5. REVIEWER COMMENTS

A. General

1. When a Reported-on Officer is unavailable or refuses to sign their OER, the Reviewer must indicate this in the Section 6, Reviewer Comments for CG-5310A and CG-5310C and provide an explanation. For CG-5310B, the Reporting Officer shall provide an explanation on the Comments Form, CG-5315.

2. If the Reported-on Officer is unavailable or did not complete the required mid-term counseling, this must be documented on the OER. For CG-5310A and CG-5310C, the Reviewer shall address this in Section 6, Reviewer Comments. For CG-5310B, the Reporting Officer shall address on the Comments Form, CG-5315.

3. If the Reviewer Comments do not meet the guidance set forth in this Chapter, CG-PSC-OPM-3 or CG-PSC-RPM-1 will return the OER to the Reviewer to be corrected.

B. Reviewer Comments, CG-5310A and CG-5310C

1. When the Reviewer has observed performance or potential that is significantly different from the Supervisor and/or the Reporting Officer, they can select 'Comments regarding performance and/or potential significantly different than Supervisor or RO'. This will open a five line block for the Reviewer to comment on this difference. This five line block will not be visible if 'Concur' is selected by the Reviewer.

2. The Reviewer adds comments, which further address the performance and/or potential of the Reported-on Officer that is significantly different from the Supervisor or Reporting Officer.

   a. Example: Although the Reported-on Officer is a stellar performer, the above evaluation is likely inflated due to the nature of the rating chain being unfamiliar with the Coast Guard OES.

   b. Example: This officer's performance specifically relating to the investigation of the COSTA CONCORDIA incident warrants highlighting as the member was regarded as the top CG representative during this international high profile event.

3. 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.

4. When the Reporting Officer is a non-Coast Guard employee, the Reviewer can use this space to address any differing opinions on the Comparison Scale. However, this is not a requirement.

5. When the Supervisor or Reporting Officer uses a handwritten signature, which locks the Reviewer comments closed, and the Reviewer needs to make comments; the Reviewer must contact OPM-3 at ARL-PF-CGPSC-OPM@uscg.mil for guidance.

C. The Comments Form, CG-5315

This form is only authorized to be used in two situations.

1. Form CG-5310B.

   a. The Supervisor uses the Comments Form, CG-5315, to substantiate substandard marks if there is not adequate space in Section 3 on CG-5310B. The use of the Comments Form, CG-5315, indicates the presence of substandard marks.

   b. The Reporting Officer uses the Comments Form, CG-5315, to document when the Reported-on Officer is unavailable or refuses to sign the OER.

   c. The Reporting Officer uses the Comments Form, CG-5315, to document when the Reported-on Officer is unavailable or did not complete the required mid-term counseling.

2. Reported-on Officers out of specialty who perform collateral duties as a military judge are authorized to attach the Comments Form, CG-5315, to document their judicial duties. The Judge Advocate General shall provide comments to document judiciary performance only. 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 comments on the Comments Form, CG-5315.

# CHAPTER 6. DEROGATORY REPORTS

A. General

1. This section will help the rating chain and Reported-on Officers complete a Derogatory OER and addendum. Rating chains, including the Reported-on Officer are strongly encouraged to contact CG PSC-OPM-3 o**r** CG PSC-RPM-1 for guidance in preparing a Derogatory OER.

2. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of assigned duties. 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 on the Comparison Scale, and/or

   c. Document conduct or performance which is adverse or below standard and results in Removal from Primary Duties (RPD) or Relief for Cause (RFC). Refer to Chapter 10 of this Manual for RPD/RFC OER procedural guidance.

B. Preparation

1. Appendix C and Appendix D provide a job aid and checklist on how to process derogatory OERs and addendums.

2. Section 1, Administrative Information. Completed as per Chapter 4.

3. Section 2, Description of Duties. The OER shall clearly state, "Per Article 5.H.1. of M1000.3 (series), this OER is a derogatory report."

4. Processing CG-5310A and CG-5310C.

   a. After both the Supervisor and Reporting Officer sign the OER, the Reporting Officer provides a copy to the Reported-on Officer requesting that the Reported-on Officer prepare an addendum.

   b. 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 view of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from filing an official request for correction of the record as per Reference (b) or submitting a Reported-on Officer OER Reply per Article 5.K. of Reference (a) and Chapter 17 of this Manual. Refer to Appendix C for an outline of the OER addendum process.

   c. After completing the addendum, the Reported-on-Officer forwards the OER along with the addendum to the Supervisor. The Supervisor and the Reporting Officer

must be afforded the opportunity to address the Reported-on Officer's addendum. In all cases, the rating officials each endorse the addendum by signature at a minimum. The Reporting Officer will then forward the OER and attachments to the Reviewer.

d. *If the Reported-on Officer declines to draft 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 calendar days of receipt of the OER unless an extension is specifically requested and received from CG PSC-OPM-3 or CG PSC-RPM-1. 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 complete Reviewer Comments on the OER in Block 6, specifically stating that a Reported-on Officer addendum was solicited but not received. If this space is already filled, then the Reviewer must address this on an addendum.

e. The Reviewer ensures that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, they 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.

f. If no substantive changes are required and after the addendum process has been completed the Reviewer signs and dates the OER.

g. The Reported-on Officer must review and sign (handwritten or electronic signature) the OER after the Reviewer has signed prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-On Officer is unavailable for signature refer to Article 5.A.1. of this Manual.

h. Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer limits the addendum to a maximum of two single-spaced pages (8½" x 11", 1" margins) typed on one side with no enclosures (font Times New Roman, minimum 12 point font size). Rating chain members, addressing the Reported-on Officer's addendum, must each limit their comments to a maximum of one single-spaced page (8½" x 11", 1" margins) typed on one side with no enclosures (font Times New Roman, minimum 12 point font size).

i. Addendum comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. All prohibited comments outlined in Article 5.I. of reference (a) and Article 4.B. 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.

j. Format for Addendum. A sample template is provided in Appendix B of this Manual.

5. Processing CG-5310B.

a. After the Supervisor has signed the OER, including any necessary comments on the Comments Form, CG-5315, the Supervisor provides a copy to the Reported-on Officer requesting that the Reported-on Officer prepare an addendum.

b. 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 view of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from filing an official request for correction of the record as per Reference (b) or submitting a Reported-on Officer OER Reply per Article 5.K. of Reference (a) and Chapter 17 of this Manual. Refer to Appendix D for an outline of the OER addendum process.

c. After completing the addendum, the Reported-on-Officer forwards the OER along with the addendum to the Supervisor. The Supervisor must be afforded the opportunity to address the Reported-on Officer's addendum. In all cases, the rating officials each endorse the addendum by signature at a minimum. The Supervisor will then forward the OER and attachments to the Reporting Officer.

d. *If the Reported-on Officer declines to draft 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 calendar days of receipt of the OER unless an extension is specifically requested and received from CG PSC-OPM-3 or CG PSC-RPM-1. If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Supervisor shall forward the OER to the Reporting Officer noting that an addendum was solicited and not received. In such cases, the Reporting Officer shall prepare the Comments Form, CG-5315, specifically stating that an addendum was solicited but not received.

e. The Reporting Officer ensures that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reporting Officer finds otherwise, they return the report to the Supervisor 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.

f. If no substantive changes are required and after the addendum process has been completed the Reporting Officer signs and dates the OER.

g. The Reported-on Officer must review and sign (handwritten or electronic signature) the OER after the Reporting Officer has signed prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-on Officer is unavailable for signature refer to Article 5.A.1. of this Manual.

h. Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer limits the addendum to a maximum of two single-spaced pages (8½" x 11", 1" margins) typed on one side with no enclosures (font Times New Roman, minimum 12 point font size). Rating chain members, addressing the Reported-on officer's addendum, must each limit their comments to a maximum of one single-spaced page (8½" x 11", 1" margins) typed on one side with no enclosures (font Times New Roman, minimum 12 point font size).

i. Addendum comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. All prohibited comments outlined in Article 5.I. of Reference (a) and Article 4.B. 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.

j. Format for Addendum. A sample template is provided in Appendix B of this Manual.

# CHAPTER 7. RESERVE SPECIFIC INFORMATION

A. General

This Chapter describes the specific procedures for preparing and processing Officer Evaluation Reports (OER) for Reserve officers who are on the Inactive Duty Promotion List (IDPL), which includes Selected Reserve (SELRES), Individual Ready Reserve (IRR), and Active Status List (ASL). Reserve officer serving on long-term Active Duty for Operational Support (ADOS) orders will follow the Active Duty Promotion List (ADPL) submission schedule found in Table 8-1 of this Manual. Reserve officers on Extended Active Duty (EAD) transition to the ADPL and shall follow the guidance provided in Chapter 8 of this Manual. All general guidance and restrictions provided throughout this Manual apply. The below information applies specifically to IDPL officer OERs.

B. Regular OERs.

1. The Regular OERs described and discussed in Chapter 8 of this Manual are applicable to IDPL officers.

2. Guidance

   a. The rating chain of an IDPL officer shall consist of at least one IDPL officer and one ADPL officer to ensure there is continuity among rating chains that manage Reserve officer evaluations. Units consisting of 50 percent or greater of Reserve positions and personnel (i.e. Port Security Units (PSUs), Combatant Commands (COCOMs), Coastal Riverine Squadrons (CORIVRONs), etc.) are exempt from this requirement and shall follow the rating chain direction provided by the command that maintains Administrative Control (ADCON). Requests to deviate from this requirement shall be submitted to CG PSC-RPM-1 with justification for the deviation.

   b. Inactive Duty Training (IDT), Active Duty for Training—Annual Training (ADT-AT) and Active Duty for Training—Other Training Duty (ADT-OTD) dates are no longer required on the OER form.

   c. Periods of active duty, to include ADOS, involuntary recall under Title 10 and Title 14, or active duty other than ADT-AT and ADT-OTD, may be notated in the Description of Duties Block of the Reported-on Officer's OER form.

   d. OERs shall not comment on civilian employment, including those IDPL officers who are employed as civilians with the Coast Guard in accordance with 4.B.13 of this Manual.

3. Biennial and Annual Submission

   a. Biennial and annual IDPL OERs end on the last day of the month as scheduled below under the Regular IDPL Schedule. Select biennial or annual on the CG-5310 (series) for occasion of report. Biennial OERs are required during even years (ex. 2016, 2018, and 2020). Active status IDPL officers, SELRES, IRR, and ASL, going before a promotion or retention board/panel are required to have a completed OER in accordance with the Promotion/Retention IDPL Schedule shown below.

| GRADE | Regular IDPL | Promotion/Retention IDPL |
|---|---|---|
| Captain | April (Annual) | April |
| Commander | March (Annual) | March |
| Lieutenant Commander | April (even-year Biennial) | April |
| Lieutenant | May (even-year Biennial) | May |
| Lieutenant (Junior Grade) | July (Annual) | June |
| Ensign | March (Annual) | March |
| Chief Warrant Officer (W4) | April (even-year Biennial) | April |
| Chief Warrant Officer (W3) | July (even-year Biennial) | July |
| Chief Warrant Officer (W2) | June (even-year Biennial) | June |

**Table 7-1 IDPL Submission Schedule**

   b. OERs for IDPL officers who are candidates for a scheduled board or panel shall not be delayed and must arrive at CG PSC-RPM-1 not later than 14 days before the board or panel convening date. All general guidance and restrictions provided in Chapters 4 and 9 of this Manual apply.

   c. Biennial and annual scheduled OERs are optional if a Regular OER has been completed within 184 days of the scheduled submission date. IDPL officers who are candidates for a scheduled board or panel shall not delay their OER beyond the time noted above.

      [1]. Example: A LT is not a candidate for a promotion or retention board and has an OER due 31 MAY 2016. The LT is scheduled to transfer (PCS) from their unit 30 SEP 2016. The LT has the option to complete a Regular OER with an end date of 31 MAY 2016 or complete an OER with an end date of 30 SEP 2016, the day of member's departure from the unit.

      [2]. Example: A CDR is a candidate for the 2017 CDR Retention Board and completed an OER with an end of period date of 30 SEP 2016 due to a PCS transfer. The CDR is not required to submit a 31 MAR 2017 OER because less than 184 days have elapsed since the ending date of their last OER submission. However, the CDR has the option to submit an OER to capture

the performance since departing their previous unit to ensure that information becomes part of their official military record and is presented to the 2017 CDR Retention Board.

d. A Detachment/PCS OER must be completed if more than 184 days have elapsed since the ending date of the last Regular OER. If less than 184 days has elapsed, the previous Supervisor should provide an Officer Support Form (OSF) to the Reported-on Officer's receiving command (in lieu of an OER) documenting performance of duties during the period.

Example: A LCDR completed a Regular OER with an end of period date of 30 APR 2016. The LCDR is scheduled to PCS 1 OCT 2016. The LCDR is not required to complete a Detachment/PCS OER because less than 184 days have elapsed since the ending date of their last OER submission of 30 APR 2016. However, the LCDR has the option to submit a Detachment/PCS OER if they so choose.

e. IDPL officers assigned to a unit other than their permanent unit for 181 or more days of active duty must submit a Regular OER based on the schedule listed in Table 8-1 of this Manual or at the end of the active duty period, whichever occurs first.

Example: A LT, assigned to SECTOR Charleston, completed a Regular OER with an end of period 31 MAY 2016. The LT received long-term ADOS orders for 365 days at MSST 91109 beginning 1 OCT 2016. This constitutes a PCS transfer from SECTOR Charleston to MSST 91109. Since a Regular OER was completed with an end of period of 31 MAY 2016, a Detachment/PCS OER would not be required because a Regular OER was completed within the 184-day window. However, The LT may request a Detachment/PCS OER. If the LT does not request a Detachment/PCS OER, they may request an OSF documenting the performance of duties from the date of the Regular OER to the date reported to MSST 91109. The LT's next Regular OER would be completed by the MSST 91109 rating chain, following the ADPL schedule of OER submissions per Table 8-1of this Manual, to include the performance of duties noted on the OSF from SECTOR Charleston.

f. IDPL officers in the SELRES will complete Detachment /PCS OER if retiring, being discharged, separating, or transferring to the Inactive Status List (ISL).

g. IDPL officers assigned to the IRR who transfer to the SELRES will receive a Continuity OER in accordance with 7.B.3.c. of this Chapter.

h. IDPL officers in the IRR or ASL who are transferred to the ISL for non-compliance with participation standards, in accordance with reference (g), Reserve Policy Manual, COMDTINST M1001.28 (series), will not receive a Detachment/PCS OER unless the Reported-on Officer specifically requests a completed OER, in writing, from CG PSC-RPM-1.

4. Continuity

a. CG PSC-RPM-1 will complete a Continuity OER for officers assigned to the IRR or ASL. Continuity OERs will account for the entire period the officer was in the IRR or ASL.

b. The Continuity OER will be completed on the Regular IDPL Schedule for all IDPL officers assigned to the IRR or ASL, regardless of any short-term (180 days or less) active duty orders completed.

[1]. CG PSC-RPM-1 completes OER Sections 1 and 2, and prepares Section 4, Reporting Officer Authentication, for CG PSC-RPM-1 signature. Section 3, Supervisor Authentication, and Section 5, Reviewer Authentication, are not used for IRR or ASL Continuity OERs.

[2]. Section 2, Description of Duties, will read "Submitted for continuity purposes only per Article 5.A.6.a. of COMDTINST M1000.3 (series). Reported-on Officer is in (IRR or ASL)."

c. IDPL officers transferring from the IRR or ASL to the SELRES will receive a Continuity OER from CG PSC-RPM-1 with a period of report from the end of the last Regular OER to the day before the IDPL officer transfers to the SELRES, regardless of the length of time, to ensure member does not have a gap in their military record.

d. IDPL officers in the IRR who are authorized to Drill for Points Only will receive a Regular OER from the command at which the member is drilling.

Example: A CDR is assigned to the IRR, and CG PSC-RPM subsequently authorizes the CDR to Drill for Points Only at SECTOR North Carolina. CG PSC-RPM-1 would complete a Continuity OER for the period the member was assigned to CG PSC-RPM-3, from the end date of the last Regular OER to the day before the effective date of the CDR's Drill for Points assignment. The SECTOR North Carolina rating chain would complete a Regular OER in accordance with the Regular IDPL Schedule.

e. SELRES CWO4 Only. In addition to procedures outlined in Article 5.A.6. of Reference (a), Section 2, Description of Duties, will include the following statements, "OER is submitted per COMDTINST M1000.3 (series), Article 5.A.6.b.(4)." SELRES CWO4s 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 CG PSC-RPM-1. When the ROO is unavailable for signature, refer to Chapter 5 of this Manual.

5. Reported-on Officer OER Reply

a. The Reported-on Officer may reply to any OER, in accordance with Chapter 17 of this Manual. Reported-on Officer OER Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from the rating chain.

b. IDPL officers *are strongly encouraged* to contact CG PSC-RPM-1 for guidance prior to preparing a Reported-on Officer OER Reply. A Reported-on Officer OER Reply does not constitute a request to correct a member's record.

c. Replies must be submitted to the Supervisor within 45 days from receipt of the validated OER from CG PSC-BOPS-C-MR, Military Records Section. Reported-on Officer OER Replies based upon an OER that has not been validated will not be accepted.

d. The Reported-on Officer OER Reply shall be processed by the rating chain to arrive at CG PSC-RPM-1 not later than 30 days after the date the Reported-on Officer OER Reply was submitted to the Supervisor.

e. The Reported-on Officer shall inform CG PSC-RPM-1directly by written communication (e-mail is acceptable) if the validated OER Reply has not been received 60 days from the date the Reported-on Officer OER Reply was submitted to the Supervisor.

C. Concurrent OERs

1. This section describes the procedures for preparing and processing a Concurrent OER. All general guidance and restrictions provided in Chapters 4 and 13 of this Manual apply to IDPL Concurrent OERs.

2. IDPL officers performing active duty of any length at their permanent unit must have the performance documented in Reported-on Officer's Regular OER and not a Concurrent OER.

3. IDPL officers performing active duty for a period of less than 30 days, at a unit other than their permanent unit, may request a completed OSF from the command where the active duty was performed to document their performance of duties. The OSF information should be included in the Reported- on Officer's Regular OER.

4. IDPL officers performing active duty orders for a period of 30 to 180 days at a unit other than their permanent unit must receive a one page Concurrent OER. The one page Concurrent OER requires only two signatures. The requirement listed in 7.B.2.a. of this Chapter does not apply to this type of OER.

   Example: An ENS is attached to Base Alameda and takes short-term ADOS orders for 120 days to TRACEN Yorktown. At the end of the ADOS orders, the ENS is required to receive a Concurrent OER from TRACEN Yorktown to document the performance of duties during the 120 days. Base Alameda would also complete a Regular OER in accordance with the Regular IDPL Schedule submission dates listed in 7.B.2. of this Manual. The Regular OER dates would include the ENS's 120 days of ADOS orders away from the permanent unit. Note: The performance of duties documented in the Concurrent OER for the 120-dayADOS period shall not be reflected in the Regular OER as the performance has been previously documented.

5. IDPL officers assigned to a unit other than their permanent unit for periods greater than 181 days of active duty must submit a Regular OER based on the schedule listed 7.B.0. of this Manual or at the end of the active duty period, whichever occurs first. Refer to 7.B.3.e. of this Manual.

D. Derogatory OERs

1. This section describes the procedures for preparing and processing Derogatory OERs (including Removal of Primary Duties, Relief for Cause, Misconduct, Disciplinary, and Unsatisfactory participation in accordance with reference (g), Reserve Policy Manual, COMDTINST M1001.28 (series)). All general guidance and restrictions provided in Chapters 10, 14, 15, and 16 of this Manual apply to IDPL officer Derogatory OERs. Rating chains must contact CG PSC-RPM-1 prior to initiating a derogatory OER.

2. In the event a Derogatory OER is completed, the Reported-on Officer is required to complete an addendum, in accordance with Chapter 6 of this Manual.

   a. After the Supervisor and Reporting Officer sign the OER, the Reporting Officer provides a copy to the Reported-on Officer and requires the Reported-on Officer to prepare an addendum to the OER.

   b. Once the Reported-on Officer completes the addendum, the Reported-on Officer forwards the OER and the addendum to the Supervisor not later than 28 calendar days from the date of receiving the OER. If an extension to the 28 days is needed, the Reported-on Officer may request an extension in writing from CG PSC-RPM-1.

   c. The Supervisor and the Reporting Officer must be afforded the opportunity to address the Reported-on Officer's addendum within 28 days of receipt. The Reporting Officer will then forward the OER and addendum to the Reviewer.

d. The Reviewer ensures the evaluation of the Reported-on Officer is consistent and the derogatory information within the OER is substantiated. If the Reviewer finds otherwise, the OER must be returned to the Reporting Officer for additional information and/or clarifying comments. The Reported-on Officer must be given the opportunity to address/change his or her addendum if the rating chain makes any changes to the OER. If substantive changes to the OER are made, the Reviewer will return the OER to the Reporting Officer requiring its return to the Reported-on Officer and provide another 28-day opportunity for the Reported-on Officer to revise the addendum.

e. If no substantive changes are needed the Reviewer signs and dates the OER.

f. The Reported-on Officer must review and sign (handwritten or electronic signature) the OER within 14 days after the Reviewer has signed, prior to submitting the OER to CG PSC-RPM-1. When the Reported-on Officer is unavailable for signature refer to Article 5.A.1. of this Manual.

g. If the Reported-on Officer declines to draft an addendum to the Derogatory OER, the Reported-on Officer must provide the following statement in accordance with Appendix B of this Manual: "I am aware of the contents of the performance report and decline comment." If the Reported-on Officer fails to provide either an addendum or the above statement within 28 days of receiving the OER, the RO shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall complete Section 6, Reviewer Comments, specifically stating that a Reported-on Officer addendum was solicited but not received. If this space is already filled, then the Reviewer must address this on an addendum.

3. Unsatisfactory participation by an IDPL officer in the SELRES should be documented on a Subsequent to Substandard Performance or Conduct OER in accordance with reference (g), COMDTINST M1001.28 (series), Article 4.C.

4. IDPL officers in the IRR or ASL who are transferred to the ISL for non-compliance with participation standards will not receive a Subsequent to Substandard Performance or Conduct OER upon transfer to the ISL, in accordance with reference (g), COMDTINST M1001.28 (series), Article 4.C.5.

# CHAPTER 8. REGULAR OERS

A. General

1. This section describes the procedures for preparing and processing Officer Evaluation Report (OER), Form CG-5310A, CG-5310B, and CG-5310C. All general guidance and restrictions provided in Chapter 4 of this Manual apply.

2. A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports, or 12 months for semiannual reports. Exceptions to this policy will not be granted by CG-PSC-OPM-3 or CG-PSC-RPM-1. The only exceptions include DUINS OERs (see Chapter 11).

B. Function of Regular OERs

A regular OER is a report that qualifies for continuous chronological coverage of the Reported-on Officer's commissioned service. These procedures are used in conjunction with the policies found in Reference (a).

C. Types of Regular OERs

1. Biennial, annual, or semiannual. The period of report for biennial, annual, and semiannual OERs ends on the last day of the month as follows. Select biennial, annual, or semiannual on the CG-5310 (series) for occasion of report.

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

**Table 8-1 ADPL Submission Schedule**

a. Reported-on Officers who have been frocked shall follow the OER submission schedule for their actual pay grade, not for the pay grade to which they have been frocked. This excludes captains serving as flag officers.

b. Biennial, annual, or semiannual OER submission shall not be delayed for officers above and in zone for promotion.

[1]. Temporary lieutenants competing for promotion to CWO3 and CWO4 cannot delay their annual 31May OER (applies to CWO to LT only).

[2]. Reported-on Officers with an approved retirement or separation letter on file may extend the period of report to coincide with the discharge date with concurrence from their rating chain. A biennial, annual, semiannual or continuity OER may be completed provided the next anticipated OER submission date meets the requirements in Article 5.C.4. of reference (a) and Article 8.A.2. of this Manual.

c. Annual or semiannual OER submission is optional if a regular OER was completed within 184 days before or after the scheduled submission date for annual reports or within 92 days before or after the scheduled submission date for semiannual reports.

[1]. Example: An ENS promotes to LTJG on 18Nov and assumes the semi-annual LTJG OER submission schedule of 31Jan. The semi-annual LTJG 31Jan OER submission is required because an OER was not completed within 92 days of 31Jan (30Sep more than 92 days from 31Jan).

[2]. Example: A LTJG promotes to LT on 18May and assumes the annual LT OER submission schedule of 31May. Assuming an OER was completed within 184 days, the annual LT 31May OER submission is optional because an OER was completed within 184 days of 31May ( 31Jan is less than 184 days from 31May).

d. Annual or semiannual OER submission is optional for newly commissioned officers that have been assigned at their first unit for less than 120 days provided the next anticipated OER submission date meets the requirements in Article 5.C.4 of reference (a) and Article 8.A.2 of this Manual. The 120 days does not start on the date of commission, but rather the date the member arrived at their first unit.

[1]. Example: An ENS is commissioned on 21May and arrives at their first unit on 16Jun. The 120 days starts on 16Jun when the ENS arrived at the unit, NOT their commission date of 21May. This makes their semiannual 21May to 30Sep OER submission optional because 30Sep is within 120 days of the date they reported to the unit (30Sep less than 120 days from 16Jun).

[2]. Example: A Direct Commission Officer (DCO) is commissioned on 15May, reports to their first unit on 21May and departs to DCO school soon

thereafter. Their first OER submission is required if more than 120 days have passed from the date they reported to the unit. This OER is usually required due to DCOs physically reporting to their unit prior to starting DCO school.

2. Change of the Reporting Officer. A detachment/change of Reporting Officer OER is due when a Reported-on Officer's Reporting Officer detaches from the unit or changes. A detachment/change of Reporting Officer OER submission is optional if the current Reporting Officer has observed the Reported-on Officer for an insufficient amount of time (e.g., Reported-on Officer recently competed a PCS to the unit). A sufficient amount of time is 184 days for officers on annual OER submission schedule and 92 days for officers on semiannual OER submission schedule. Select Detachment/Change of RO on the CG-5310 (series) for occasion of report.

   a. A Reported-on Officer on an annual OER submission schedule must complete a detachment/change of Reporting Officer OER if more than six months (184 days) have elapsed since the ending date of the last regular OER.

      Example: A Reporting Officer departs on 01Nov. Reported-on Officers in the grades of O5, O4 and W4 that completed their annual OER as scheduled in Table 8-1 of this Manual would be required to complete a Detachment/Change of Reporting Officer OER because 01Nov is more than 184 days from their annual end of period of report.

   b. A Reported-on Officer on a semiannual OER submission schedule must complete a detachment/change of Reporting Officer OER if more than three months (92 days) have elapsed since the ending date of the last regular OER.

      Example: A Reporting Officer departs on 01Nov. Reported-on Officers in the grade of O2 who completed their semiannual 31Jul OER as scheduled in Table 8-1 would be required to complete a Detachment/Change of Reporting Officer OER because 01Nov is more than 92 days from their semi-annual end of period of report.

   c. If the Reported-on Officer has an approved retirement or separation letter on file, plans to submit a continuity OER, and their Reporting Officer detaches or changes, the period of report may be extended to the final day of active service as long as the period of report meets the requirements in Article 5.C.4. of reference (a) and Article 8.A.2. of this Manual.

3. Detachment on Permanent Change of Station (PCS) Orders or Separation from the Service of the Reported-on Officer. A PCS or separation from the service OER submission is due when a Reported-on Officer executes a PCS or separates from the service. Select Detachment/PCS of ROO on the CG-5310 (series) for occasion of report.

a. A Reported-on Officer on an annual OER submission schedule must complete a PCS or separation from service OER if more than six months (184 days) have elapsed since the ending date of the last regular OER.

> Example: A W3 who executes a PCS on 07Apr is required to complete a PCS OER with an end of period of 07Apr because more than 184 days have elapsed since their last annual 31Jul OER.

b. A Reported-on Officer on a semiannual OER submission schedule must complete a PCS or separation from service OER if more than three months (92 days) have elapsed since the ending date of the last regular OER.

> Example: A LTJG who executes a PCS on 20Apr is not required to complete a PCS OER to coincide with their PCS departure date of 20Apr because less than 92 days have elapsed since the ending date of their last regular semi-annual OER submission of 31Jan. This PCS departure OER would be optional.

c. For officers separating from the service, an OER is mandatory regardless of the length of period for the report. The period of report shall end on the final day of active service, including days on terminal leave. With the concurrence between the rating chain and the Reported-on Officer, a continuity OER is authorized as long as the period of report meets the requirements in Article 5.C.4. of reference (a) and Article 8.A.2. of this Manual. See Chapter 12 for more details on continuity OERs.

4. Promotion or Appointment of Officers. A promotion or appointment OER submission is **only** authorized when one of the below criteria is met. Select Promotion on the CG-5310 (series) for occasion of report.

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. With the concurrence between the rating chain and the Reported-on Officer, a continuity OER is authorized as long as the period of report meets the requirements in Article 5.C.4. of reference (a) and Article 8.A.2. of this Manual.

b. For Reported-on Officers that are promoting to Captain and for Reported-on Officers that are promoting from CWO to LT, a promotion OER is required unless a regular OER was completed within 184 days prior to the date of promotion.

c. For all other promotions and appointments not explicitly listed above, a promotion OER is only authorized if the period of report exceeds the requirements in Article 5.C.4. of reference (a) and Article 8.A.2. of this Manual. Biennial, annual and semiannual OER submissions shall not be delayed and substituted with promotion OERs. However, the annual CWO OER may be extended up to 184 days to coincide with the LT appointment.

[1]. Example: A W3 promotes to W4 on 01Jun and assumes the 30Apr annual W4 OER submission schedule. A promotion OER is required because waiting until the next W4 annual OER, would exceed 18 months. A promotion OER should be completed with a rank of W3 and an end of period of 31May.

[2]. Example: A W2 promotes to W3 on 01Jun and assumes the W3 annual OER submission schedule of 31Jul. In this case an annual OER should be completed and not a promotion OER. This typical period of report would be 13 months from 01Jul to the next 31Jul.

5. For Consideration by Selection Panels or Boards. See Chapter 9 for more details.

6. Removal from Primary Duty (RPD). See Chapter 10 for more details.

7. Duty Under Instruction (DUINS). See Chapter 11 for more details.

8. Continuity OER. See Chapter 12 for more details.

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# CHAPTER 9. OERS FOR CONSIDERATION BY SELECTION PANELS OR BOARDS

A. General

This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs), CG-5310 (series) for selection panels or boards. All general guidance and restrictions provided in Chapter 4 of this Manual apply.

B. Function of this OER

This OER may be submitted for officers being considered by Coast Guard sponsored or officially advertised selection panels (e.g., flight school, command screening, NASA astronaut) or selection boards for promotion, extension, or continuation.

C. Preparation

1. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

   a. PERIOD OF REPORT. The period of report must be at least 92 days for a semiannual OER submission schedule and 184 days for an annual OER submission schedule.

   b. OCCASION FOR REPORT. Select board/panel on the CG-5310 (series) for occasion of report.

2. Section 2, Description of Duties. Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.E.6. due to…", e.g., Junior Command Screening Panel on 01Nov2016.

3. Reference Chapter 4 of this Manual for guidance for Sections 2-7.

D. Guidelines

1. The OER must arrive at Commander (PSC) no later than 14 days before the board or panel convening date.

2. A Reported-on Officer cannot delay their annual/semi-annual OER submission in order to submit an OER for consideration by a selection panel or board.

# CHAPTER 10. REMOVAL FROM PRIMARY DUTY (RPD) AND RELIEF FOR CAUSE (RFC) OERS

A. General

1. This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs): CG-5310 (series) when permanently removing a Reported-on Officer from their primary duties or as directed by the permanent relief authority's final action on a permanent relief for cause. All general guidance and restrictions provided in Chapter 4 of this Manual apply.

2. The Commandant, commanding officers, higher authorities within the chain of command, convening authorities, and Reporting Officers may direct this report.

3. RPD and RFC OERs are defined as Derogatory per Article 5.H.1. of Reference (a). Refer to Chapter 6 of this Manual for Derogatory OER procedural guidance.

4. Reassignment not constituting RPD as provided in reference (f), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series), is not derogatory and therefore does not require a RPD OER.

B. Function of this OER

This OER must be submitted when permanently removing an officer from their primary duties as a result of conduct or performance which is substandard or as directed by the permanent relief authority's final action on a permanent relief for cause request in accordance with reference (f), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series).

C. Preparation

1. RPD and RFC OERs present unique preparation requirements for members of the rating chain and the Reported-on Officer. Rating chains must contact the member's assignment officer in CG PSC-OPM-2 or CG PSC-RPM-1 prior to initiating the RPD process. Upon approval from CG PSC-OPM-2 or CG PSC-RPM-1 that the RPD is warranted, rating chains may then contact CG PSC-OPM-3 or CG PSC-RPM-1 and a case officer will be assigned to provide guidance prior to preparing these reports.

2. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

a. PERIOD OF REPORT. The 'From' date is the day after the last period of report ends. The "To" date is the day the rating chain or chain of command directed the completion of the OER.

b. OCCASION FOR REPORT. Select RPD or RFC on the CG-5310 (series) for occasion of report.

3. Section 2, Description of Duties. Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.E.7. due to Sub-Standard Performance and/or Conduct and is a derogatory report per Article 5.H.1., member removed from primary duties/relieved for cause on ddMmmyyyy."

4. Section 3, Evaluation.

a. If RFC or RPD prompts the report, any discussion on sub-standard performance or conduct associated with the RFC or RPD is considered within the period of report. The report may include other information as necessary to accurately reflect the performance being evaluated. Information may be included in the report even if it took place outside the reporting period. Any dimension which is not evaluated is marked 'Not Observed'.

b. All performance dimensions are evaluated; at least one performance dimension is marked to document performance or conduct which is sub-standard, i.e., below a mark of a four. Additionally, the Potential Section must mention the officer's ability to assume greater leadership roles and responsibilities as well as future assignment recommendations.

5. Section 5, Attachments. Copies of punitive letters of censure (Reprimand and Admonition) and copies of Court Memorandums must be referred to and appended to the RPD OER. Refer to Article 4.G.1.g. of this Manual for required attachments to OERs.

## CHAPTER 11. DUTY UNDER INSTRUCTION (DUINS) OERS

A. General

This section describes the procedures for preparing and processing Officer Evaluation Report (OER): Duty Under Instruction (DUINS), Form CG-5310F. All general guidance and restrictions provided in Chapter 4 of this Manual apply. Advanced Education Program Managers should ensure information provided is accurate. DUINS policy is outlined in Article 5.E.8. of Reference (a).

B. Function of the DUINS OER

The DUINS OER serves as a vehicle to capture academic performance while assigned to Postgraduate/Advanced Education (PG/Adv Ed) programs. These procedures are used in conjunction with the policies found in Reference (a).

C. Preparation

1. Section 1, Administrative Data. The Reported-on Officer provides all items in this Section to the Program Manager. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

   a. NAME. Last name, first and middle initials only.

   b. EMPLID. Enter Employee ID Number in this block.

   c. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date. *Frocked officers must report their actual pay grade, not their frocked grade.*

   d. DATE OF RANK. Date of rank in all numerals in the YYYY/MM/DD format, e.g., 2009/05/04. Confirm date of rank in Direct Access, or the ESS.

   e. DATE REPORTED. Indicate the actual date of report to the program. Enter date in the same format as d. above.

   f. UNIT. The name of school, college, or university being attended or designation of industry training, e.g., UC Berkeley, Boalt Hall School of Law.

   g. 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 are entered in all numerals in the YYYY/MM/DD format, e.g., 2016/06/30.

   h. OCCASION FOR REGULAR REPORT. Mark "Annual" or "Detachment of Officer" as the occasion for the report. All DUINS OER submissions regardless of pay grade are annual and end on 30 June (exception: detachment of officer).

2. Section 2, Primary Duty, Description of Duties and Attachments.

   a. PRIMARY DUTY. Identify the program or degree sought or earned, e.g., PG-LAW (JD), PG- ACQUISITION PROJECT MANAGEMENT.

   b. DESCRIPTION OF DUTIES. General description of program is limited to Senior Service Schools and those PG/ Adv Ed programs that do not have grades, e.g., Flight School, Industry Training, etc.
   For Academic courses at civilian colleges/universities use the format below:
   DUINS: college or institution name

   c. DUINS PROGRAM TITLE: program name, e.g., Information Technology.

   d. DEGREE: type & major, e.g., Master of Science in Information Technology.

   e. ATTACHMENTS. List documents attached to the OER. Letter reports signed by school officials are not accepted as attachments for DUINS programs that provide official transcripts or degrees. For those DUINS programs at institutions that do not provide official transcripts or degrees, letter reports signed by school officials are required at the completion of a DUINS assignment, e.g., RAND, SLOAN, etc. Do not attach transcripts or diplomas.

3. Sections 3, Educational Accomplishments.

   a. As applicable to the program being attended, course titles, term/phase, grades, and credit must be listed. Include all courses that appear on transcripts for each semester, regardless of grade or standing, include withdrawals (“W”) and incompletes (“I”).

   b. No other comments are authorized in this section.

4. Section 4, Comments.

   a. Grade point averages for each semester and the cumulative grade point average must be listed in Block 4.

   b. Any additional information required in Section 3 can be extended to Section 4 if more than 20 academic courses were completed during the marking period. Additionally, if the grading system requires explanation this section can be utilized.

   c. Enter completion date of degree, do not forecast completion of degree.

   d. This section is used to document failure to adhere to common professional values and Service standards when the Reported-on Officer failed to meet minimum standards of weight or sobriety due to Alcohol Incidents, Drug Incidents and noncompliance with Weight and Body Fat Standards (see Reference (a), Article 5.J.2. and 5.J.3.).

5. Section 5, Program Manager Authentication.

   a. SIGNATURE. The Program Manager's signature verifies completion of OES responsibilities and that grades and comments are correct. A typed name must accompany the signature, regardless of whether a handwritten or electronic signature is used.

   b. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS14, etc. If frocked use frocked grade.

   c. EMPLID. Enter Employee ID number.

   d. TITLE OF POSITION. Examples include Financial Management Program Manager and Coast Guard Liaison Officer Pensacola.

   e. DATE. The date the Program Manager completed review of the evaluation. Enter date in all numerals in the YYYY/MM/DD format, e.g., 2016/06/30.

   f. Articles 5.D.2. and 5.D.3. of Reference (a) still apply and the Program Manager's signature must be a Coast Guard flag officer or Coast Guard Senior Executive Service member for captains who attend a DUINS program.

   g. Program Managers may use an Administrative Remarks, CG-3307, PD-06 General Positive to comment on the Reported-on Officer's academic or training achievements.

6. Detachment versus Removal from Primary Duties (RPD). An officer in a DUINS program may be disenrolled from the program as the result of academic performance or a decision by the program manager. Normally an officer who is removed from primary duties requires a RPD OER, however, officers attending a DUINS program may not require the same if the removal was for academic and/or training reasons beyond the officer's capabilities. The program manager should contact CG PSC-OPM-3 for guidance as to whether to complete a Detachment of Officer – DUINS report, or a RPD OER (Chapter 10). Those officers who require the completion of a RPD OER to document a removal from primary duties may not use the Officer Evaluation Report (OER): Duty Under Instruction (DUINS), Form CG-5310F.

# CHAPTER 12. CONTINUITY OERS

A. General

Continuity OERs, CG-5310G, may be submitted in cases where an OER is required by policy, but full documentation is impractical, impossible to obtain, or does not meet OES goals. Continuity OER policy is outlined in Article 5.A.6. of Reference (a).

B. Function of the Continuity OER

1. The Continuity OER is used to ensure that all days of commissioned service are covered by OERs, to close out the end of commissioned service, and for judicial or administrative adjudications.

2. A Continuity OER can be used to implement judicial and administrative adjudication. The appropriate OER form revision that was in effect on the end-of-period date is used. Cite the current Continuity policy as per reference (a) in Section 2, Description of Duties.

C. Reported-on Officer Preparation

1. Section 1, Administrative Data. The Reported-on Officer completes all items in this Section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

   a. NAME. Last name, first and middle initials only.

   b. Reported-on Officer Signature. Continuity OERS, except for Reserve CWO4, do not require the Report-on Officer's signature. Reference Reserve Chapter 7 for more details for CWO4.

   c. DATE OF RANK. Date of rank in all numerals in the YYYY/MM/DD format, e.g., 2009/05/04.. Confirm date of rank in Direct Access, or the ESS.

   d. DATE REPORTED. Indicate the actual date reported to PRIMARY DUTY as shown in Direct Access.

   e. UNIT. Identification of the unit to which permanently attached.

   f. EMPLID. Enter Employee ID number in this block.

   g. GRADE. Two-character pay grade, e.g., W2, O5, etc., as of the end of period date. *Frocked officers must use their actual pay grade, not their frocked grade.*

   h. OFFICER STATUS/ORDERS. Mark only one.

   i. PERIOD OF REPORT. The period of report end date for officers separating from the Service will be the day prior to separation including all days of terminal leave, e.g., retirement date 2013/07/01, the end of period date is 2013/06/30.

j. OCCASION FOR REPORT. Select only one box for the occasion which has prompted the OER submission (normally "Detachment of Officer").

k. REASON FOR REPORT. Select only one.

2. Preparation

a. Supervisor prepares Sections (2-3) of the Continuity OER.

b. CG PSC-RPM-1 will prepare Continuity OERs for members of the Individual Ready Reserve (IRR) and Active Status List (ASL) as per the general guidance and restrictions provided in Chapter 7 of this Manual.

c. Section 2, Primary Duty. Provide the officer's primary duty title. This is defined in the unit Personnel Allowance List as shown in Direct Access and is the position indicated on the Reported-on Officer's CG Business Intelligence employee summary sheet.

d. Section 2, Description of Duties.

[1]. If the Reported-on Officer is retiring, the description of duties is optional. The designated Supervisor must state the reason the OER is submitted for continuity purposes, e.g., "Submitted per COMDTINST M1000.3 (series), Article 5.E.9., member retiring on ddMmmyyyy."

[2]. If the Reported-on Officer is separating, the Supervisor writes 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. The designated Supervisor describes the Reported-on Officer's responsibilities in Section 2 and states the reason the OER is submitted for continuity purposes, e.g., "Submitted per COMDTINST M1000.3 (series), Article 5.E.9., member separating on ddMmmyyyy."

[3]. In determining whether a Continuity OER is appropriate for officers being separated, consideration should be given to the Reported-on Officer's opportunity to request a CG Reserve commission at some future date. Continuity OERs are not authorized for Reported-on Officers who are temporarily separating or associating with the CG Reserve. Completing a Continuity OER is not recommended for Reported-on Officers who are not retiring and could associate with the CG Reserve or return to active duty at a later date.

[4]. For officers departing the service for reasons other than retirement, the Supervisor ensures that the Reported-on Officer acknowledges reviewing the above paragraph. The Supervisor confirms, by filling in the bubble, that the Reported-on Officer has reviewed the provisions of Article 5.E.9. of Reference (a) and concurs with the decision to submit the Continuity OER.

e. Section 3-5, Supervisor, Reporting Officer and Reviewer Authentication.

[1]. SIGNATURE. The rating chain's signatures verify completion of their OES responsibilities. A typed name must accompany the signatures, regardless of whether a handwritten or electronic signature is used. Include Service abbreviation if other than Coast Guard.

[2]. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.

[3]. EMPLID. Enter Employee ID number in this block. A non-Coast Guard Supervisor leaves this block blank.

[4]. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.

[5]. DATE. For the Supervisor this date indicates when the OER was submitted to the Reporting Officer. Enter in all numerals in the YYYY/MM/DD format, e.g., 2016/05/31. *The Reporting Officer and Reviewer must sign on or after the end of period date.*

# CHAPTER 13. CONCURRENT OERS

A. General

This section describes the procedures for preparing and processing a Concurrent OER. All general guidance and restrictions provided in Chapter 4 of this Manual apply to Concurrent OERs.

B. Function of the Concurrent OER

Concurrent OERs serve as a vehicle for documenting performance away from the permanent unit. A Concurrent OER covers performance observed by a rating chain other than the permanent unit, e.g., senior aviator deployed aboard a Coast Guard icebreaker. The Concurrent OER will be written upon the detachment of the officer and cover only the period of temporary duty. The Concurrent OER provides a record of significant performance that was not directly observed by the rating chain from the permanent unit. The Concurrent OER rating chain has the option to complete the Concurrent OER on either the one page Concurrent OER form or the standard OER form. *Since the Concurrent OER form only has a two-person rating chain, it is recommended, but not required, that the Reporting Officer be a Coast Guard military officer or member of the Coast Guard Senior Executive Service*. Requirements in Article 5.F.1. of Reference (a) still apply.

C. Forms

The following forms should be used:

| GRADE | STANDARD OER | ONE PAGE CONCURRENT |
|---|---|---|
| Captain | CG-5310C | CG-5310L |
| Commander | CG-5310A | CG-5310K |
| Lieutenant Commander | CG-5310A | CG-5310J |
| Lieutenant | CG-5310A | CG-5310J |
| Lieutenant (junior grade) | CG-5310A | CG-5310I |
| Ensign | CG-5310B | CG-5310H |
| Chief Warrant Officer 4 | CG-5310B | CG-5310I |
| Chief Warrant Officer 4 | CG-5310A | CG-5310I |
| Chief Warrant Officer 2 | CG-5310A | CG-5310I |

**Table 13-1 Concurrent OER Forms**

D. One page Concurrent OER form Preparation

1. Reported-on Officer prepares Section 1 of the one page Concurrent OER form:

2. Section 1, Administrative Data. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

3. Items:

   a. NAME. Last name, first and middle initials only.

   b. Reported-On Officer Signature. CWO to LCDR must review and sign the OER (handwritten or electronic signature) after the Reporting Officer has signed, but prior to submitting the OER to CG PSC-OPM-3 or CG PSC-RPM-1. When the Reported-on Officer is unavailable for signature refer to Article 5.A.1. of this Manual.

   c. DATE OF RANK. Date of rank in all numerals in the YYYY/MM/DD format, e.g., 2009/05/31. Confirm date of rank in Direct Access, or the ESS.

   d. DATE REPORTED. Indicate the actual date of reporting to temporary assignment.

   e. PERMANENT UNIT. Identification of the unit to which *permanently* attached.

   f. EMPLID. Enter Employee ID number in this block.

   g. GRADE. Two-character pay grade, e.g., W2, O5, etc. as of the end of period date. Frocked officers must report their actual pay grade and use the report form appropriate to their pay grade, not their frocked grade.

   h. OFFICER STATUS/ORDERS. Mark only one.

   i. PERIOD OF REPORT. The concurrent reporting period commences the first day of orders to the temporary unit and ends on the date of separation from the assignment, as recorded as the last day of orders.

   j. OCCASION FOR REPORT. Mark only one box for the occasion which has prompted the OER submission.

4. Supervisor Preparation

   a. Prepares the Supervisor's Sections (2-4) of the one page Concurrent OER.

   b. Section 2, Position Assigned/Unit where duty performed.

      [1]. Provide the description of the Reported-on Officer's position title along with the unit or operation to which assigned. This information should be located in the orders.

[2]. Examples:

[a]. MIL AIDE TO DEPUTY NATION INCIDENT COMMANDER/ DEEPWATER HORIZON

[b]. LEGAL INTERN /PACIFIC AREA STAFF JUDGE ADVOCATE OFFICE

c. Section 2, Description of Duties.

[1]. Summarize goals and objectives for period of report. The Supervisor writes a summary of the most important aspects of Reported-on Officer's job. Use 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.

[2]. Describe duties and responsibilities to provide an overall understanding of the job. Also note conditions particular to the assignment. Include number of people supervised, funds controlled, and unit operation or organizational relationship as appropriate. Define highly technical terms and uncommon acronyms. Comments must be clear and concise and confined solely to the space allotted on the form.

d. Section 3, Detailed Description of Accomplishments/Performance.

[1]. This section is designed to measure an officer's demonstrated performance and qualities exhibited with performing duties away from their permanent unit.

[2]. The Supervisor includes comments that best characterize the officer's performance and conduct. Well-written comments must be sufficiently specific to paint a succinct picture of the officers' performance and qualities. Omit superlative objectives, needless statistics, and imprecise phrasing. Describe the officer's accomplishments and performance that have been observed during the period. The Supervisor should recount specific details or achievements and describe results or impact.

[3]. It is not necessary to fill the entire space. Given the smaller space available the emphasis is upon "best characterizing" the officer's demonstrated accomplishments/performance of duties. Avoid the use of unsubstantiated superlatives.

e. Section 4, Supervisor Authentication.

[1]. SIGNATURE. The Supervisor's signature verifies completion of their OES responsibilities and that comments are correct. A typed name must accompany the signature, regardless of whether a handwritten or electronic signature is used. Include service abbreviation if other than Coast Guard.

[2]. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS12, etc. If frocked use frocked grade.

[3]. EMPLID. Enter the Employee ID Number in this block. A non-Coast Guard Supervisor leaves this block blank.

[4]. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.

[5]. DATE. The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals in the YYYY/MM/DD format,, e.g., 2016/04/25.

[6]. After signing the OER, the Supervisor forwards it to the Reporting Officer, together with the OSF (if used), and any other authorized documentation or information.

5. Reporting Officer Preparation

a. Prepares the Reporting Officer's Sections (5-6) of the one page Concurrent OER.

b. Section 5, Comparison, Promotion and Rating Scale.

[1]. Comparison Scale (W2 to O2, O3 to O4, and O5 forms). The Reporting Officer fills 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.

[2]. 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' if that applies, and may select 'Already selected to O6', if applicable. The Reporting Officer may still make a promotion recommendation for any officer whose promotion is still pending and is not obligated to marking 'Already selected to O6'.

[3]. Rating Scale (O6 form). The Reporting Officer fills in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.

c. Section 6, Reporting Officer Authentication.

[1]. 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 of whether a handwritten or electronic signature is used. Include Service abbreviation if other than Coast Guard.

[2]. GRADE. Two-character military pay grade, or civilian equivalent, e.g., O6, GS14, etc. If frocked use frocked grade.

[3]. EMPLID. Enter Employee ID Number. Non-Coast Guard Reporting Officers leave this blank.

[4]. TITLE OF POSITION. Examples include Chief, Administration Division; Commanding Officer.

[5]. DATE. The date the Reporting Officer submitted the evaluation to CG PSC-OPM-3 or CG PSC-RPM-1. Because this date indicates when OES responsibilities were completed, *a date preceding the end-of-the-period is prohibited*. Enter date in all numerals in the YYYY/MM/DD format,, e.g., 2016/11/22.

E. Concurrent Standard OER Form Preparation.

1. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

2. Items:

a. DATE REPORTED. Indicate the actual date of report to temporary assignment.

b. UNIT. Identification of the unit as indicated in their orders or name of operations to which temporarily assigned, e.g., National Incident Command, Deepwater Horizon Incident.

c. PERIOD OF REPORT. The concurrent reporting period commences the first day of orders to the temporary unit and ends on the date of separation from the assignment, as recorded as the last day of orders.

d. OCCASION FOR REPORT. Select Concurrent from the drop down menu.

e. MID-TERM COUNSELING. Recommended for Reported-on Officers who are TDY for more than 60 days.

3. Supervisor Preparation

   a. Section 2, Billet Information. Provide the Reported-on Officer's TDY Primary Duty title in Block 2.a. This information should be located in the orders.

   b. The PAL Position Title should match the member's position on PAL as listed in Direct Access and on their ESS.

4. Reference Chapter 4 of this Manual for guidance on Sections 2-7.

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# CHAPTER 14. SUBSEQUENT TO SUBSTANDARD PERFORMANCE OR CONDUCT OERS

A. General

1. This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs): CG-5310 (series) to document performance or conduct that is substandard but not necessitating a removal from primary duties (RPD). All general guidance and restrictions provided in Chapter 4 of this Manual apply.

2. The Commandant, commanding officers, higher authorities within the chain of command, convening authorities, and Reporting Officers may direct this report.

3. This OER *can* be defined as Derogatory as per Article 5.H.1. of Reference (a). Refer to Chapter 6 of this Manual for Derogatory OER procedural guidance.

B. Function of this OER

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

C. Preparation

1. This OER presents unique preparation requirements for members of the rating chain and the Reported-on Officer. Rating Chains *are strongly encouraged* to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing these reports.

2. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

3. Items:

   a. PERIOD OF REPORT. Usually, the OER does not count for continuity so the “From” date and the “To” date will be the same day.

   b. OCCASION FOR REPORT. Select Conduct on the CG-5310 (series) for occasion of report.

4. Section 2, Description of Duties: Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.F.2. due to Sub-Standard Performance or Conduct."

5. Section 3, Evaluation.

   a. All performance dimensions are evaluated; at least one performance dimension is marked to document performance or conduct which is sub-standard, i.e., below a mark of a four. Additionally, the Potential Section must mention the officer's ability to assume greater leadership roles and responsibilities as well as future assignment recommendations.

   b. Attachments. Copies of punitive letters of censure (Reprimand and Admonition) must be referred to and appended to this OER. Refer to Article 4.D.3.m. of this Manual for required attachments to OERs.

   c. Reference Chapter 4 of this Manual for guidance on Sections 4-7.

# CHAPTER 15. SUBSEQUENT TO DISCIPLINARY ACTION OERS

A. General

1. This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs), CG-5310 (series) to: document actions resulting in a civil court or criminal offense conviction that bring discredit upon the Coast Guard; 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 an OER shall be prepared. In courts martial cases, this OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved.

2. All general guidance and restrictions provided in Chapter 4 of this Manual apply.

3. The Commandant, commanding officers, higher authorities within the chain of command, convening authorities, and Reporting Officers may direct this report.

4. This OER can be defined as Derogatory as per Article 5.H.1. of Reference (a). Refer to Chapter 6 of this Manual for Derogatory OER procedural guidance.

B. Function of this OER

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

2. This OER must be submitted 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 an OER shall be prepared. In courts martial cases, this OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved.

3. The performance evaluation describes the unacceptable conduct and is not merely referencing the type of proceeding. The conduct itself reflects negatively on the Coast Guard and requires documentation. It is the NJP, civil conviction, or investigation that prompts the report and therefore any discussion on conduct associated with them is considered within the period of report.

C. Preparation

1. This OER presents unique preparation requirements for members of the rating chain and the Reported-on Officer. Rating Chains *are strongly encouraged* to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing these reports.

2. This OER is optional if the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period and the process is completed, i.e., not subject to further review, by the time the regular report is due for the current period (within 30 days of the end of period of report). The basis for the court-martial, non-judicial punishment, or investigation shall be reported in the regular report and mentioned in the description of duties.

3. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

   a. PERIOD OF REPORT. This OER does not count for continuity so the "From" date and the "To" date will be the same day. This date should be the day that all proceedings are completed.

   b. OCCASION FOR REPORT. Select Disciplinary on the CG-5310 (series) for occasion of report.

   c. Section 2, Description of Duties:

      [1]. Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.F.3. due to…"

      [2]. NJP: List UCMJ article and description of article, e.g., Article 128-Assault, and the punishment.

      [3]. Civil Conviction: List charges and punishment.

      [4]. Investigation: List findings of the investigation.

4. 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 OER due to criminal culpability), and

b. Any punishment imposed as a result of criminal conviction or non-judicial punishment.

5. Section 3, Evaluation.

a. Other information may be included 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.

Example: An officer has a prohibited relationship over a six-month period and an investigation is initiated and completed by the command after the fact. The commanding officer receives the results of the investigation and decides a Disciplinary OER is justified. The Disciplinary OERs period of report would be the date the investigation was completed and can discuss the officer's conduct during the previous six-month relationship.

b. 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'.

c. A comparison or rating scale mark and comments on the officer's potential are required.

d. The promotion scale mark on CG-5310A is required.

6. Attachments. Copies of punitive letters of censure (Reprimand and Admonition) must be referred to and appended to this OER. Refer to Article 4.D.3.m of this Manual for required attachments to OERs.

7. Reference Chapter 4 of this Manual for guidance on Sections 4-7.

# CHAPTER 16. TO DOCUMENT SIGNIFICANT HISTORICAL PERFORMANCE OERS

A. General

1. This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs): CG-5310 (series) to document significant historical performance or behavior of substance and consequence which were unknown when a previous OER was prepared and submitted. All general guidance and restrictions provided in Chapter 4 of this Manual apply.

2. The Commandant, commanding officers, higher authorities within the chain of command, convening authorities, and Reporting Officers may direct this report.

3. This OER *can* be defined as Derogatory as per Article 5.H.1. of Reference (a). Refer to Chapter 6 of this Manual for Derogatory OER procedure guidance.

B. Function of this OER

This OER may be submitted to document significant historical performance or behavior of substance and consequence which were unknown when a previous OER was prepared and submitted.

C. Preparation

1. This OER presents unique preparation requirements for members of the rating chain and the Reported-on Officer. Rating Chains shall to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing these reports.

2. This OER must not be used in lieu of a Subsequent to Disciplinary Action OER.

3. The OER must address only the performance dimensions relevant to the OER since all other performance dimensions will have been addressed in the previously submitted OER.

4. This OER must be initiated by the original rating chain unless they are unavailable or disqualified.

5. If a member of the rating chain is no longer available then a rating chain exception can be issued to re-designate the rating chain appropriately.

6. The Reviewer must be a flag officer. For W4/O1 (Form CG-5310B), the Reporting Officer must obtain flag officer approval and state the same in Block 2. (e.g. “Authorized by D11/d/)

7. When drafting a Historical OER all policies and procedures that were in place at the time of the original OER must be used.

8. The corresponding form and series that was originally used applies. When the previously unknown performance or conduct occurred at the previous pay grade, the appropriate form is used for that previous grade, e.g., a Lieutenant gets a Historical OER for conduct as a Lieutenant (junior grade) the form for a LTJG is used along with the revision that was in effect at the time.

9. If the historical performance overlaps two periods of report then two separate Historical OERs would be required to document the previously unknown performance.

10. Section 1, Administrative Information. The Reported-on Officer completes all items in this section. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade. Reference Chapter 4 of this Manual for guidance on Section 1, Administrative Information unless noted below.

    a. PERIOD OF REPORT. This OER does not count for continuity. The period of report is identical to the OER that is being augmented.

    b. OCCASION FOR REPORT. Select Historical on the CG-5310 (series) for occasion of report.

11. Section 2, Description of Duties. Include the following statement, "This OER is submitted per COMDTINST M1000.3 (series), Article 5.F.4. due to…"

12. Section 3, Evaluation. Only the performance dimensions that were affected by the unknown performance or conduct should be marked and commented on. The marks and comments should be written as if they were replacing the marks and comments on the original OER and the totality of the performance that occurred during the entire period of report should be taken into consideration. This type of Historical OER augments the original OER for which the performance or conduct occurred. Unaffected performance dimensions should be marked 'Not Observed' on the Historical OER.

13. Reference Chapter 4 of this Manual for guidance on Sections 4-7.

# CHAPTER 17. REPORTED-ON OFFICER OER REPLY

A. General

1. 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. Reported-on Officers *are strongly encouraged* to contact CG PSC-OPM-3 or CG PSC-RPM-1 for guidance prior to preparing a Reported-on Officer OER Reply. A Reported-on Officer OER reply does not constitute a request to correct their record.

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.I. of Reference (a) and Article 4.B. 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's OER Reply must be submitted to CG PSC-OPM-3 or CG PSC-RPM-1 via the original rating chain. If the whereabouts of the original rating chain members are unknown, submit the Reported-on Officer OER Reply directly to CG PSC-OPM-3 or CG PSC-RPM-1 who will forward the Reply to the rating chain.

4. Timeline for Submission of Replies to Supervisor. Replies must be submitted to the Supervisor within 21 days from receipt of the validated OER from CG PSC-BOPS-C-MR, Military Records Section. 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 CG PSC-OPM-3 or CG PSC-RPM-1 not later than 30 days after the date the Reply was submitted to the Supervisor.

6. Quality Review. CG PSC-OPM-3 or CG PSC-RPM-1 shall conduct a quality review of replies to ensure compliance with policy and upon validation will append them to the applicable OER.

7. Timeline for Receipt of Validated OER. The Reported-on Officer shall inform CG PSC-OPM-3 or CG PSC-RPM-1 directly by written communication (e-mail is acceptable) if the validated OER Reply has not been received within 60 days from the date the Reply was submitted to the Supervisor.

B. Format of Reported-on Officer OER Replies

1. Follow the Memorandum format as per the Coast Guard Correspondence Manual, COMDTINST M5216.4 (series). A sample is provided in Appendix E of this Manual. Reported-on Officers must limit their OER Reply to a maximum of two single-spaced pages (8½" x 11", 1" margins, font Times New Roman, minimum 12 point font size) typed on one side with no enclosures.

2. Each rating chain member responding to the Reply limits their endorsement to a maximum of one single-spaced page (8½” x 11”, 1” margins, font Times New Roman, minimum 12 point font size) typed on one side with no enclosures. If a rating chain member elects not to respond with an endorsement to the Reply, they must initial and date in the thru block of the Reply, and forward through the rating chain.

C. Record Correction

Any rating chain member who, upon reviewing a Reported-on Officer’s OER Reply, finds reason to concur that an error of fact may be present in the OER should comment in their endorsement and assist the officer in following the records correction procedures in Reference (b), Correcting Military Records, COMDTINST 1070.1 (series).

## CHAPTER 18. REVIEW OF OERS AT CG PERSONNEL SERVICE CENTER

A. General

Completed OERs are forwarded to CG PSC-OPM-3 or CG PSC-RPM-1, Officer Evaluations Branch for processing, review and validation.

B. Submission Criteria.

1. Email. Digitally signed electronic forms are the preferred format for submission. The OER must include all pages and legible rating chain signatures. Resolution of scanned OERs 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. Submit only one OER per email. Electronically submit OERs directly to CG PSC-OPM-3 or CG PSC-RPM-1 via PDF files containing all authorized attachments.

2. Active Duty Promotion List (ADPL). The email address is arl-pf-cgpsc-opmoer@uscg.mil.

3. Inactive Duty Promotion List (IDPL). The email address is arl-pf-cgpsc-rpmoer@uscg.mil.

4. Subject Line. Include the Reported-on Officer's rank, last name, first and middle initials, and end of period date of the OER, e.g., **LCDR Jones AB 30APR2017 OER**. If the Reported-on Officer is a candidate for an upcoming board or panel include the term Panel or Board in the subject line, e.g., **LCDR Jones AB 30APR2017 OER – Candidate for Board/Panel**. If the OER is overdue, then note that as well in the subject line, e.g., **LCDR Jones AB 30APR2017 OER – Overdue OER**. Attached files should be named as stated above with Reported-on Officer's rank, last name, first and middle initials, end of period of the OER, and the acronym OER.

5. 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."

C. OER Review

1. CG PSC-OPM-3 or CG PSC-RPM-1 review OERs for administrative and substantive errors. Particular attention is given to administrative data, Reviewer Comments, and inconsistencies between the numerical evaluations and written comments (where applicable). The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure OERs are prepared per OES guidelines.

2. Unacceptable Reports. Reports found unacceptable are returned to the original rating

chain member identifying areas for correction. The initial submission shall be deleted to avoid duplication and / or confusion. Corrected OERs must be returned to CG PSC-OPM-3 or CG PSC-RPM-1 via the rating chain within 30 days.

D. Correction of OERs.

1. Administrative Information. CG PSC-OPM-3 or CG PSC-RPM-1 may make changes to the administrative data of an OER; no notification is required to the Reported-on Officer and/or the original rating chain.

2. Description of Duties. CG PSC-OPM-3 or CG PSC-RPM-1 may make changes to the Billet Information; block 2.b to ensure it matches the PAL. No notification is required to the Reported-on Officer and/or the original rating chain.

3. 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 (if applicable). On those marks indicated by CG PSC-OPM-3 or CG PSC-RPM-1 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.

4. Comments.

   a. If an OER is returned to the rating chain due to comments, those marks and comments may be changed by the original Supervisor and Reporting Officer as appropriate. The signature dates should be adjusted to reflect the date that the necessary changes and reviews were actually made. The Reported-on Officer should be provided the opportunity to review and sign the updated OER.

   b. CG PSC-OPM-3 or CG PSC-RPM-1 may make minor changes of a positive nature to marks and comments after receiving unanimous consent/direction from the rating chain. The Reported-on Officer must be informed of the change/s. Signature date adjustment is not required.

   c. A new OER form should be used if the corrections are extensive.

5. All changes to the original OER must be initialed.

## CHAPTER 19. BEHAVIORALLY ANCHORED RATING SYSTEM (BARS)

A. General

1. The Coast Guard appraisal method uses absolute standards. This means that employees are compared to a standard, and their evaluation is independent of any other employee in a work group. This process assesses employee job traits and/or behaviors. The Coast Guard officer appraisal has 18 Performance Dimensions and the OER is a series of forms used to document Coast Guard officers' performance and potential.

2. Behaviorally Anchored Rating Scales (BARS) are scales used to report a Reported-on Officer's performance. BARS is a method that combines elements of the traditional rating scales and critical incidents methods. It aims to combine the benefits of narratives, critical incidents, and quantified ratings by anchoring a quantified scale with specific narrative examples of good/poor or effective/ineffective performance.

3. The completion of an OER is a critical leadership responsibility. Inherent in this duty is the commitment of rating chains to ensure the integrity of the system by giving close attention to accurate marking, narrative assessment, and timely reporting.

B. Factors that can distort OERs

1. Leniency Error - Every evaluator has their own value system that acts as a standard against which appraisals are made. Relative to the true or actual performance an individual exhibits, some evaluators mark high, while others mark low. The former is referred to as positive leniency error, and the latter as negative leniency error. If all individuals in an organization were appraised by the same person, there would be no problem. Any error factor would be applied equally to everyone. The difficulty arises when there are different raters with different leniency errors. Rating chain members are reminded to evaluate against the established service standards.

2. Halo Error - The inflation of marks "halo effect" is a cognitive bias that causes people to overestimate their positive qualities and abilities and to underestimate their negative qualities, relative to others. The halo error or effect occurs when one is rated either extremely high or extremely low on all factors based on a rating of one or two factors.

3. Low Appraiser Motivation - If the evaluator knows that a poor appraisal could significantly hurt the employee's future, particularly opportunities for promotion or selection, the evaluator may be reluctant to give a realistic appraisal.

4. Central Tendency - It is possible that regardless of whom the rating chain member evaluates and what traits are used, the pattern of evaluation remains the same. Sometimes the evaluator's ability to appraise objectively and accurately has been impeded by a failure to use the extremes of the scale. Central tendency occurs when a rater refuses to use the two extremes. Raters prone to the central tendency error continually rate all employees as average.

C. Marking Philosophy of 18 Performance Dimensions

1. The rating chain must carefully evaluate the Reported-on Officer in each attribute to fairly judge the performance and character of the individual. There is no place for "welcome aboard" reports or other techniques that skew performance records.

2. Determine the mark on the scale that best reflects the performance and behavior of the Reported-on Officer during the evaluation period. A single event or action may be significant enough to support an unsatisfactory mark. A mark of four represents the expected standard of performance, while a mark of '7' should reflect a truly extraordinary level of performance observed. All of the characteristics of performance and conduct for the mark of '6' should have been met and at least one of them exceeded to merit a mark of '7'.

# 18 PERFORMANCE DIMENSIONS

| PERFORMANCE OF DUTIES: Measures an officer's ability to manage and to get things done and to communicate in a positive, clear, and convincing manner. | | | |
|---|---|---|---|
| Dimension | 2 | 4 | 6 |
| a. PLANNING AND PREPAREDNESS: Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and create a shared vision of the unit's and Coast Guard's future. | Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information. | Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed. | Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact. |
| b. USING RESOURCES: Ability to manage time, materials, information, money, and people (i.e. all CG components as well as external publics). | Concentrated on unproductive activities or often overlooked critical demands. Failed to use people productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left subordinates without means to accomplish tasks. Employed wasteful methods. | Effectively managed a variety of activities with available resources. Delegated, empowered, and followed up. Skilled time manager, budgeted own and subordinates' time productively. Ensured subordinates had adequate tools, materials, time and direction. Cost conscious, sought ways to cut waste. | Unusually skilled at bringing scarce resources to bear most critical of competing demands. Optimized productivity through effective delegation, empowerment, and follow-up control. Found ways to systematically reduce cost, eliminate waste, and improve efficiency. |
| c. RESULTS/ EFFECTIVENESS: Quality, quantity, timeliness and impact of work. | Routine tasks accomplished with difficulty. Results often late or of poor quality. Work had a negative impact on department or unit. Maintained the status quo despite opportunities to improve. | Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality; required same of subordinates. Results had a positive impact on department or unit. Continuously improved services and organizational effectiveness. | Maintained optimal balance among quality, quantity, and timeliness of work. Quality of own and subordinates' work surpassed expectations. Results had a significant positive impact on unit or Coast Guard. Established clearly effective systems of continuous improvement. |
| d. ADAPTABILITY: Ability to modify work methods and priorities in response to new information, changing conditions, political realities, or unexpected obstacles. | Unable to gauge effectiveness of work, recognized political realities, or make adjustments when needed. Overlooked or screened out new information. Overreacted or responded slowly to change in direction or environment. Ineffective in ambiguous, complex, or pressured situations. | Receptive to change, new information, and technology. Effectively used benchmarks to improve performance and service. Monitored progress and changed course as required. Effectively dealt with pressure and ambiguity. Facilitated smooth transitions. Adjusted direction to accommodate societal trends or political realities. | Rapidly assessed and adjusted to changing conditions, political realities, new information and technology. Very skilled at using and responding to measurement indicators. Championed organizational improvements. Effectively dealt with extremely complex situations. Turned pressure and ambiguity into constructive forces for change. |
| e. PROFESSIONAL COMPETENCE: Ability to acquire, apply and share technical and administrative knowledge and skills associated with description of duties. (Includes operational aspects such as marine safety, seamanship, airmanship, SAR, etc., as appropriate.) | Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. Made little effort to grow professionally. Used knowledge as power against others or bluffed rather than acknowledging ignorance. Effectiveness reduced due to limited knowledge of own organizational role and customer needs. | Competent and credible authority on specialty or operational issues. Acquired and applied excellent operational or specialty expertise for assigned duties. Showed professional growth through education, training and professional reading. Shared knowledge and information with others clearly and simply. Understood own organizational role and customer needs. | Superior expertise; advice and actions showed great breadth and depth of knowledge. Remarkable grasp of complex issues, concepts, and situations. Rapidly developed professional growth beyond expectations. Vigorously conveyed knowledge, directly resulting in increased workplace productivity. Insightful knowledge of own role, customer needs, and value of work. |
| f. SPEAKING AND LISTENING: Ability to speak effectively and listen to understand. | Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. Used inappropriate language or rambled. Nervous or distracting mannerisms detracted from message. Failed to listen carefully or was too argumentative. | Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding. Listened carefully for intended message as well as spoken words. | Clearly articulated and promoted ideas before a wide range of audiences; accomplished speaker in both formal and extemporaneous situations. Adept at presenting complex or sensitive issues. Active listener; remarkable ability to listen with open mind and identify key issues. |
| g. WRITING: Ability to express facts and ideas clearly and convincingly. | Written material frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium. | Written material clear, concise, and logically organized. Proofread conscientiously. Correspondence grammatically correct, tailored to audience, and delivered by an appropriate medium. Subordinates' material reflected same high standards. | Clearly and persuasively expressed complex or controversial material, directly contributing to stated objectives. Written or published material brought credit to the Coast Guard. Actively educated subordinates in effective writing. |

**Figure 19-1 Performance of Duties**

| LEADERSHIP SKILLS: Measures an officer's ability to support, develop, direct, and influence others in performing work. | | | |
|---|---|---|---|
| Dimension | 2 | 4 | 6 |
| a. LOOKING OUT FOR OTHERS: Ability to consider and respond to others personal needs, capabilities, and achievements; support for and application of work-life concepts and skills. | Seldom recognized or responded to needs of people; left outside resources untapped despite apparent need. Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates. | Cared for people. Recognized and responded to their needs; referred to outside resources as appropriate. Considered individuals' capabilities to maximize opportunities for success. Consistently recognized and rewarded deserving subordinates. | Always accessible. Enhanced overall quality of life. Actively contributed to achieving balance among unit requirements, professional and personal responsibilities. Strong advocate for subordinates; ensured appropriate and timely recognition, both formal and informal. |
| b. DEVELOPING OTHERS: Ability to use mentoring, counseling, and training to provide opportunities for others' professional development. | Unreasonably restricted opportunities for professional growth; kept others in narrow roles and discouraged the level of risk-taking necessary for learning. Lack of timely feedback left subordinates guessing. | Supported and provided opportunities for professional growth. Encouraged others to expand their roles, handle important tasks and learn by doing. Allowed the appropriate level of risk-taking necessary for learning and mission accomplishment. Provided timely praise and constructive feedback. | Created challenging situations which optimized professional development and maximized opportunity for success. Guided, mentored, and encouraged others to reach new levels of performance. Adeptly counseled others; identified professional potential, strengths and areas for improvement. |
| c. DIRECTING OTHERS: Ability to influence or direct others in accomplishing tasks or missions. | Showed difficulty in directing or influencing others. Low or unclear work standards reduced productivity. Failed to hold subordinates accountable for shoddy work or irresponsible actions. Unwilling to delegate authority to increase efficiency of task accomplishment. | A leader who earned others' support and commitment. Set high work standards; clearly articulated job requirements, expectations and measurement criteria; held subordinates accountable. When appropriate, delegated authority to those directly responsible for the task. | An inspirational leader who motivated others to achieve results not normally attainable. Won people over rather than imposing will. Clearly articulated vision; empowered subordinates to set goals and objectives to accomplish tasks. Modified leadership styles to best meet challenging situations. |
| d. TEAMWORK: Ability to manage, lead and participate in teams, encourage cooperation, and develop espirit de corps. | Used teams ineffectively or at wrong times. Conflicts mismanaged or often left unresolved, resulting in decreased team effectiveness. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross functional cooperation to the detriment of unit or service goals. | Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision process. Valued team participant. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals. | Insightful use of teams raised unit productivity beyond expectations. Inspired high level of esprit de corps, even in difficult situations. Major contributor to team effort. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level. |
| e. WORKPLACE CLIMATE: Ability to create and maintain a positive environment where differences of all personnel are included, valued, and respected in alignment with Civil Rights and Human Resource policies. Capacity to optimize diverse perspectives to improve team contributions to mission performance. | Intolerant of individual differences; exhibited discriminatory tendencies toward others. Tolerated or contributed to an uncomfortable or degrading climate which alienated people. Failed to take responsibility for own words and actions and their impact on others. | Valued individual differences and encouraged open communication and respect. Supportive of human resources initiatives to promote a climate which values fairness, dignity, creativity, and diverse perspectives. Took responsibility for own words and actions and their impact on others. | Optimized individual differences and prioritized open communication to ensure all personnel contribute to mission performance. Actively promoted human resources policies to create a climate where individuals of diverse backgrounds and perspectives are included, valued, and respected. |
| f. EVALUATIONS: The extent to which an officer, as Reported-on Officer and rater, conducted or required others to conduct accurate, timely evaluations for enlisted, civilian and officer personnel. | Reports were frequently late. Narratives inaccurate or of poor quality. Failed to uphold service performance standards by assigning accurate marks. Reports required revision or intervention by others. Failed to meet own OES responsibilities as Reported-on Officer. | Reports consistently submitted on time. Narratives were fair, concise and contained specific observations of action and impact. Assigned marks against standards. Few reports, if any, returned for revision. Met own OES responsibilities as Reported-on Officer. | No reports submitted late. Narratives were insightful, of the highest quality, and always supported assigned marks. Subordinates' material reflected same high standards. No reports returned for revision. Returned reports to subordinates when appropriate. |

**Figure 19-2 Leadership Skills**

| PERSONAL AND PROFESSIONAL QUALITIES: Measures an officer's qualities which illustrate the individual's character. | | | |
|---|---|---|---|
| Dimension | 2 | 4 | 6 |
| a. INITIATIVE:<br>Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance and supervision. | Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Feasible improvements in methods, services, or products went unexplored. | Championed improvement through new ideas, methods, and practices; self-starter. Anticipated problems and took prompt action to avoid or resolve them. Sought opportunities for own career development. Pursued productivity gains and enhanced mission performance by applying new ideas and methods. | Aggressively sought out additional responsibility. A self-learner. Made worthwhile ideas and practices work when others might have given up. Extremely innovative. Optimized use of new ideas and methods to improve work processes, decision-making and service delivery. |
| b. JUDGMENT:<br>Ability to make sound decisions and provide valid recommendations by using facts, experience, political acumen, common sense, risk assessment, and analytical thought. | Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Unconcerned with political drivers on organization. | Demonstrated analytical thought and common sense in making decisions. Used facts, data, and experience, and considered the impact of alternatives and political realities. Weighed risk, cost and time considerations. Made sound decisions promptly and with the best available information. | Combined keen analytical thought, an understanding of political processes, and insight to make appropriate decisions. Focused on the key issues and the most relevant information. Did the right thing at the right time. Actions indicated awareness of impact of decision on others. Not afraid to take reasonable risks to achieve positive results. |
| c. RESPONSIBILITY:<br>Ability to act ethically, courageously, and dependably and inspire the same in others; accountability for own and subordinates' actions | Actions demonstrated questionable ethics or lack of commitment. Tolerated indifference or failed to hold subordinates accountable. Allowed organization to absorb personnel problems rather than confronting them as required. Tended not to speak up or get involved. Provided minimal support for decision counter to own ideas. | Held self and subordinates personally and professionally accountable. Spoke up when necessary, even when expressing unpopular positions. Supported organizational policies and decisions which may have been counter to own ideas. Committed to the successful achievement of organizational goals. | Integrity and ethics beyond reproach. Always held self and subordinates to highest standards of personal and professional accountability. Did the right thing even when it was difficult. Succeeded in making even unpopular policies or decisions work. Actions demonstrated unwavering commitment to achievement of organizational goals. |
| d. PROFESSIONAL PRESENCE:<br>Ability to bring credit to the Coast Guard through one's actions, competence, demeanor, and appearance. Extent to which an officer displayed the Coast Guard's core values of honor, respect, and devotion to duty. | Unaware of general CG objectives; uncooperative or biased in interactions. Lost composure in difficult situations. Conveyed poor image of self and CG. Ignorant of or sloppy with common military courtesies. Uniform appearance and grooming below standard. Failed to display the core values of honor, respect, and devotion to duty. | Knowledgeable in how the CG objectives serve the public; cooperative and fair in all interactions. Composed in difficult situations. Conveyed positive image of self and CG. Well versed in military etiquette; precise in rendering and upholding military courtesies. Great care in uniform appearance and grooming. Abided by the core values of honor, respect, and devotion to duty. | Always self-assured, projected ideal CG image. Poised in response to others' provocative actions. Contributed leadership role in civilian/military community. Exemplified and held others accountable for the core values and finest traditions of military customs and protocol. Meticulous uniform appearance and grooming; inspired similar standards in others. |
| e. HEALTH AND WELL-BEING:<br>Ability to invest in the Coast Guard's future by caring for the physical health, safety, and emotional well-being of self and others. | Did not adhere to the Coast Guard Fitness Program. Failed to meet minimum standards of weight control or sobriety. Tolerated or condoned others' alcohol abuse. Seldom considered subordinates' health and wellbeing. Unwilling or unable to recognize and manage stress despite apparent need. Failed to adequately identify and protect personnel from safety hazards. | Maintained weight standards and adhered to the Coast Guard Fitness Program. Committed to health and well-being of self and subordinates. Enhanced personal performance through activities supporting physical and emotional well-being. Recognized and managed stress effectively. Ensured that safe operating procedures were followed. | Remarkable vitality, enthusiasm, alertness and energy. Consistently contributed at high levels and actively followed a comprehensive fitness program. Optimized personal performance through involvement in activities which supported physical and emotional wellbeing. Monitored and helped others deal with stress, enhance health and well-being. Demonstrated a significant commitment towards safety of personnel. |

**Figure 19-3 Personal and Professional Qualities**

## Appendix A OER SUBMISSION FLOW CHARTS

**Figure A-1 OER for Annual/Semiannual Submission**

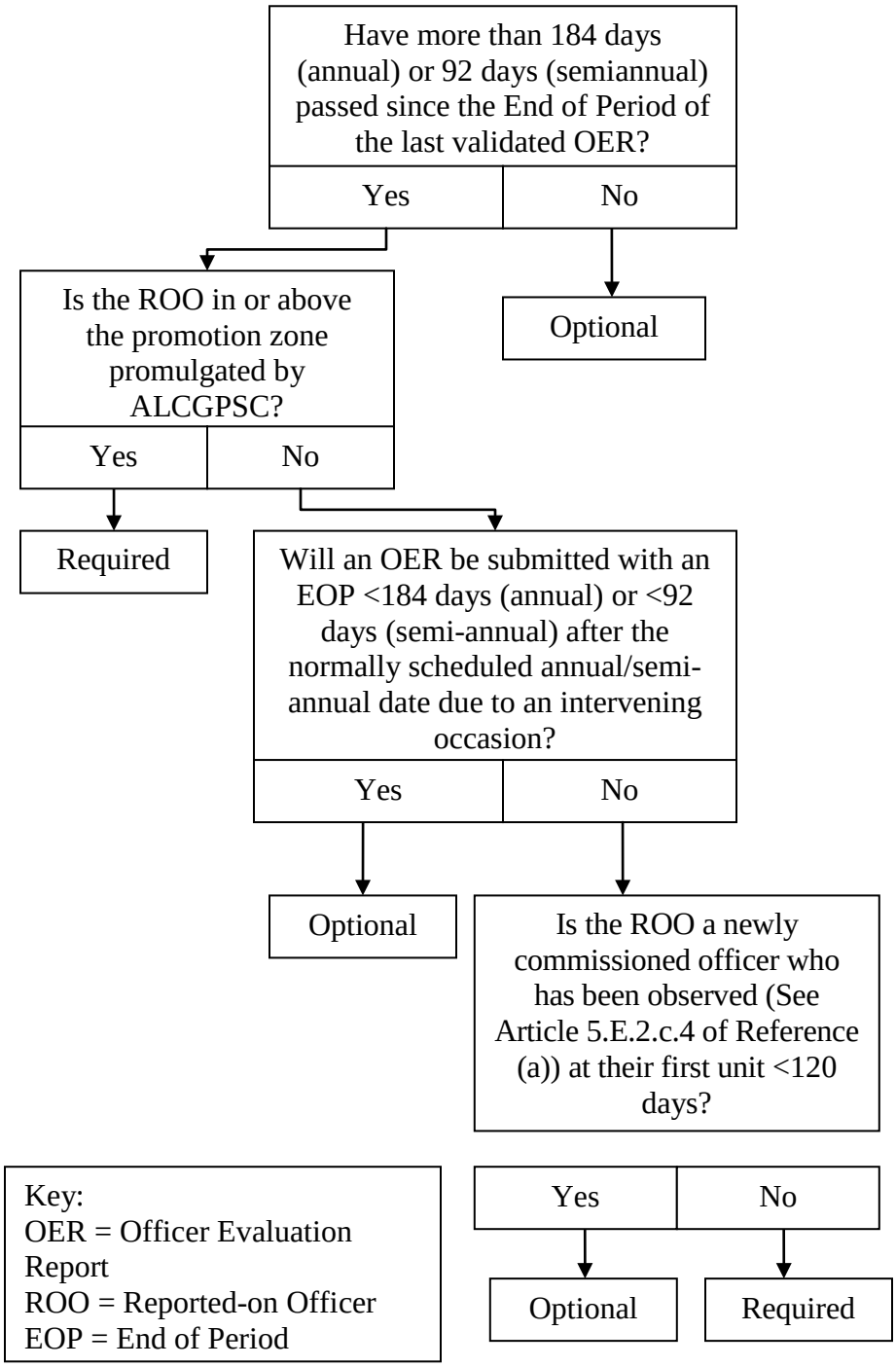
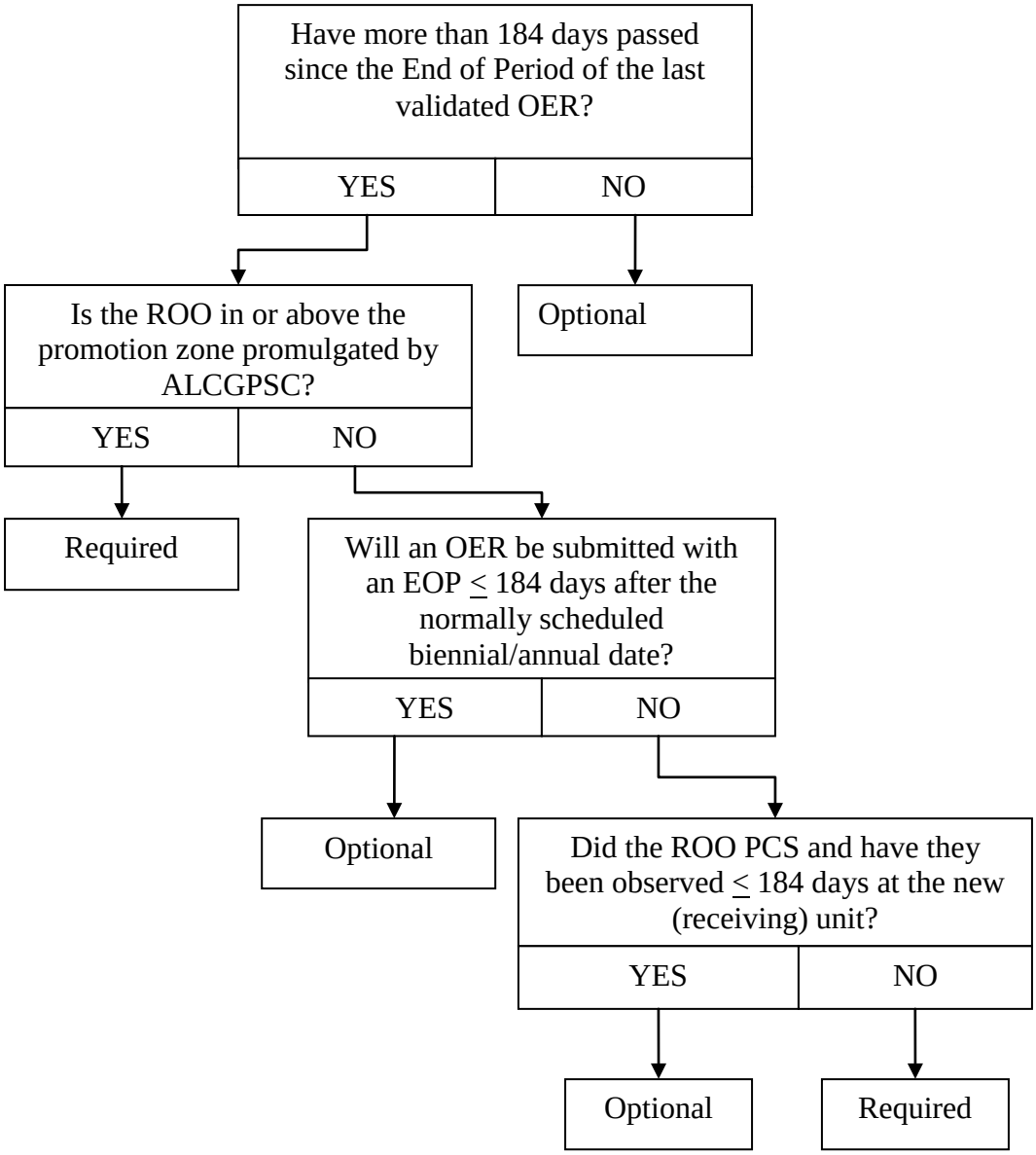


**Figure A-2 Reserve OER for Biennial/Annual Submission**




Key:
OER = Officer Evaluation Report
ROO = Reported-on Officer
EOP = End of Period
PCS = Permanent Change of Station

**Figure A-3 OER for Detachment of Reporting Officer**

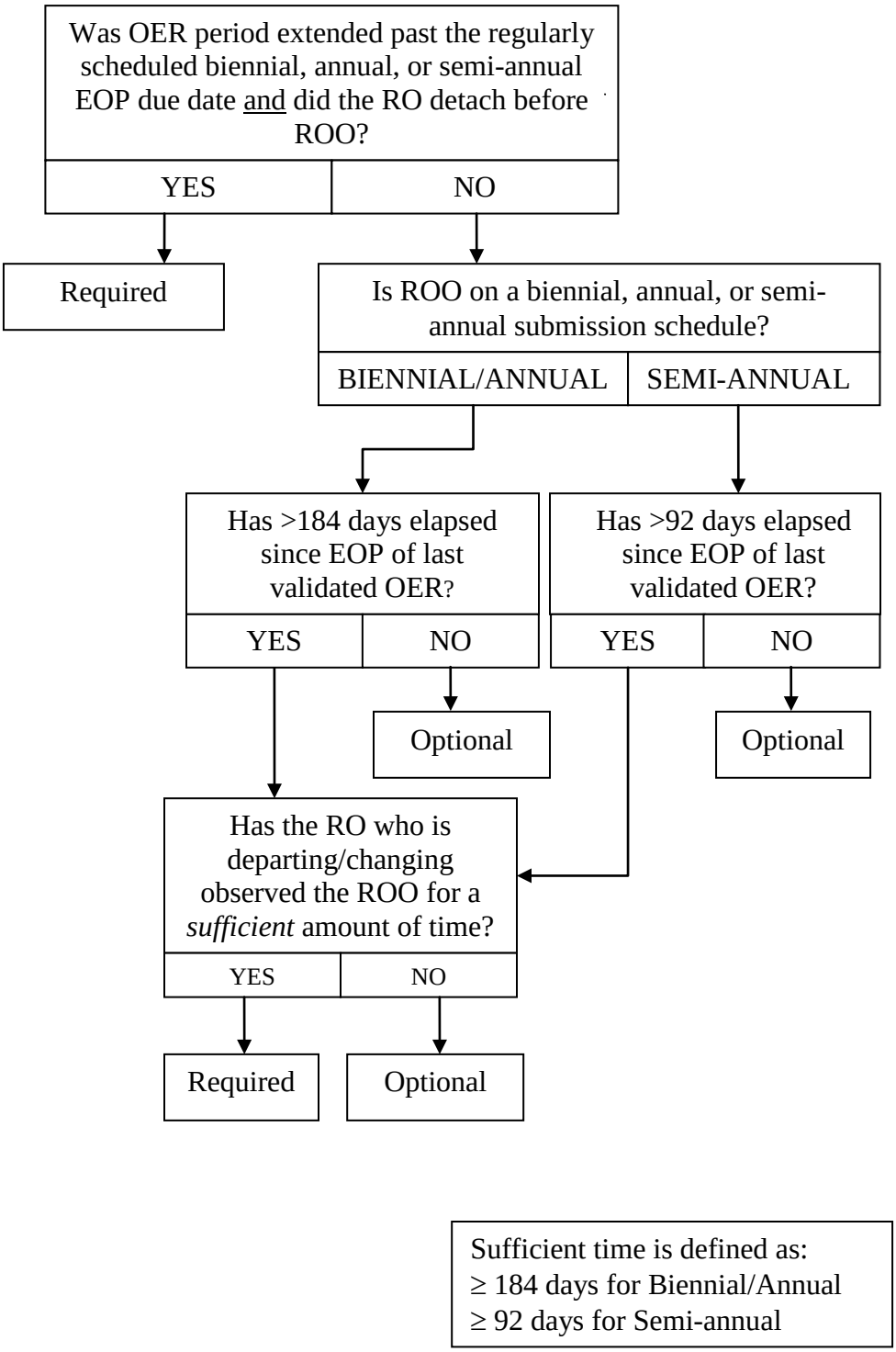
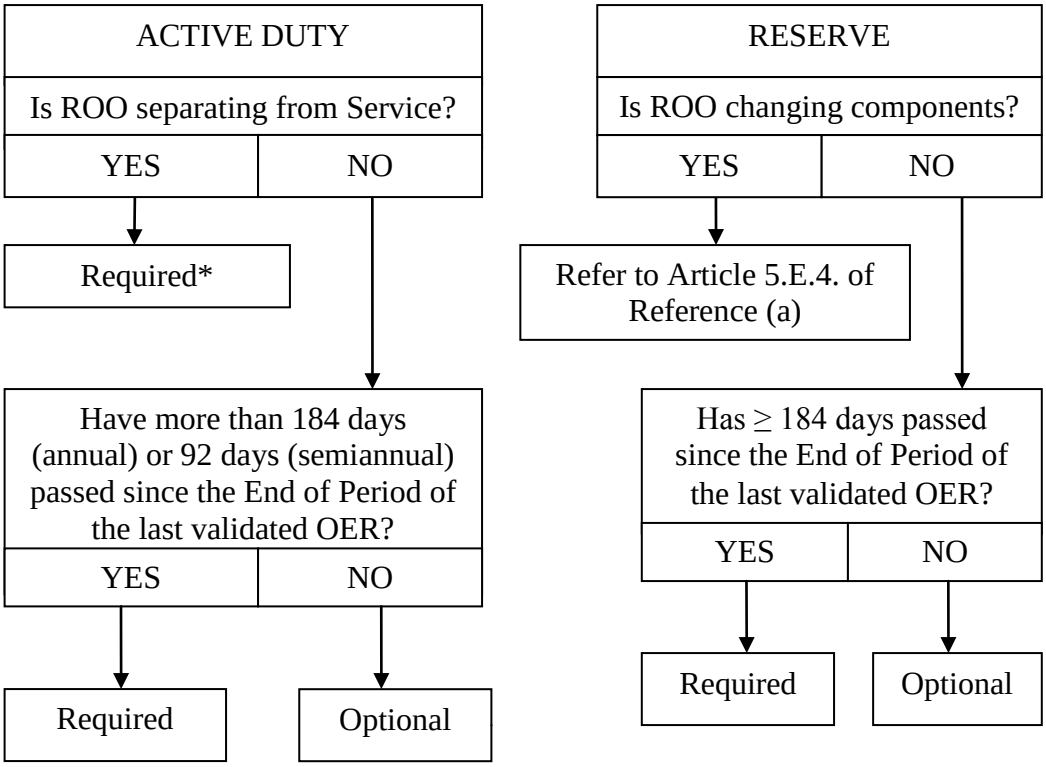
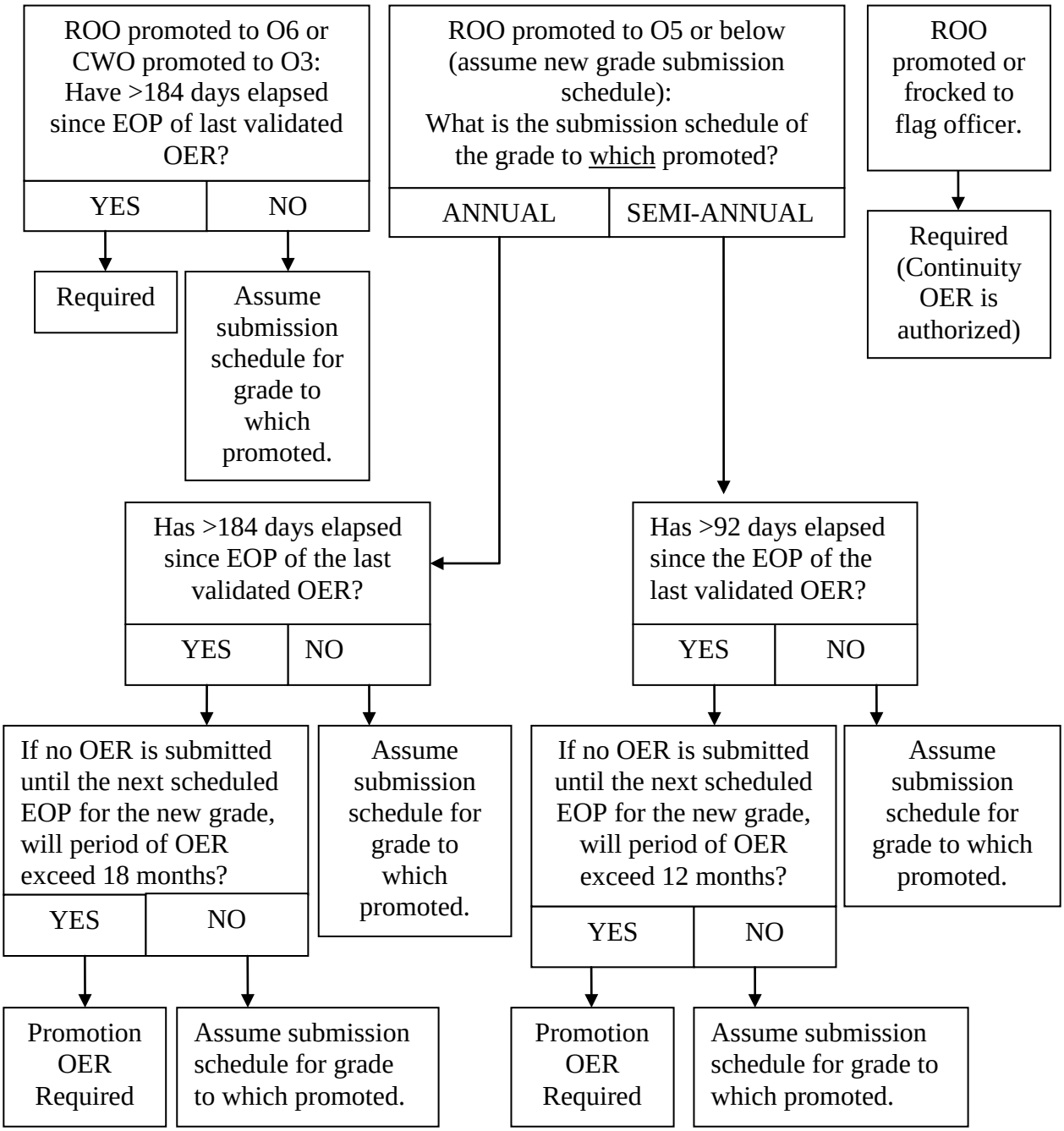


**Figure A-4 OER for Detachment of Reported-on Officer**



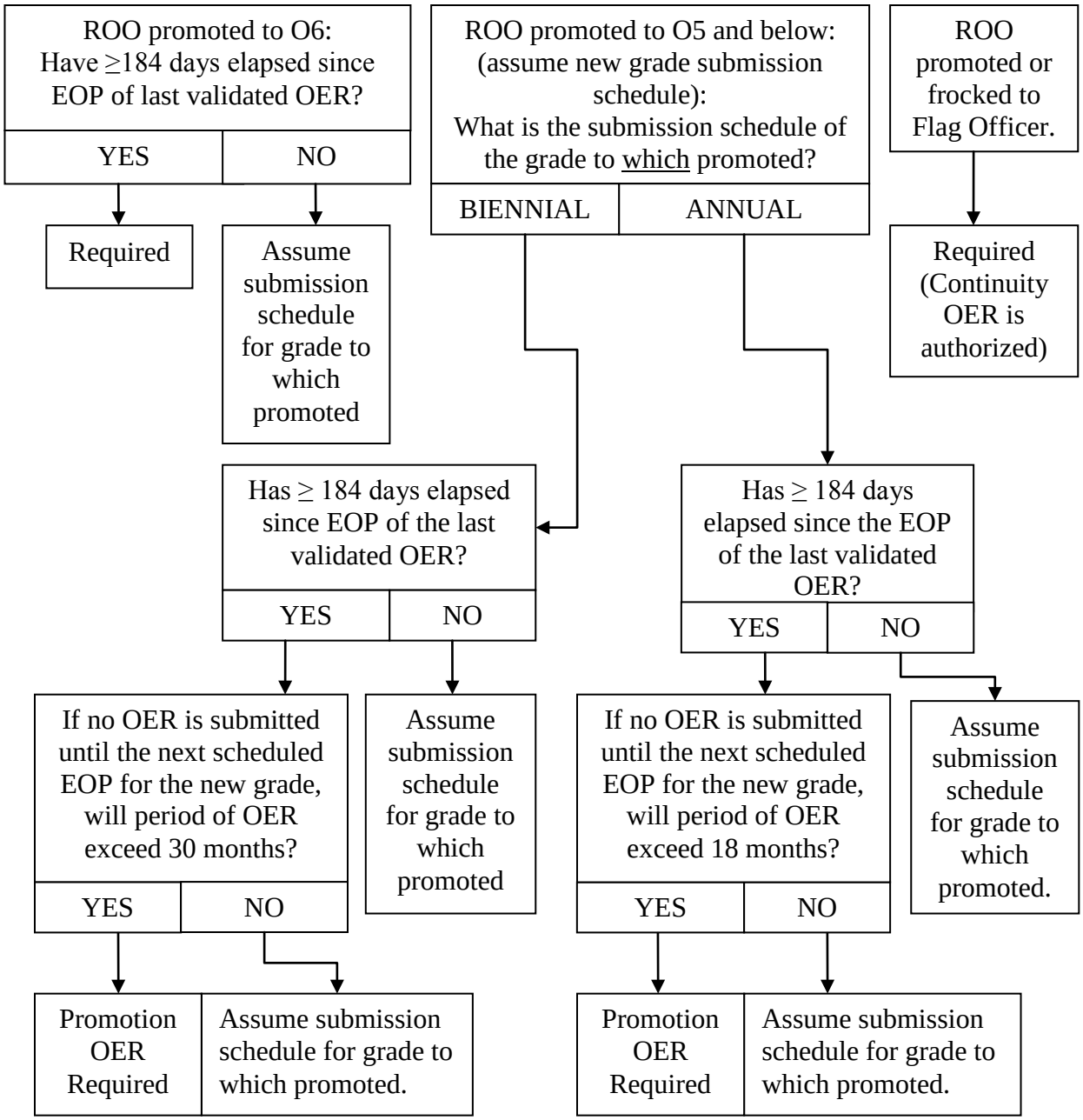

*Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

**Figure A-5 OER for Promotion of 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.

**Figure 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.

**Figure A-7 OER for Continuity Purposes**

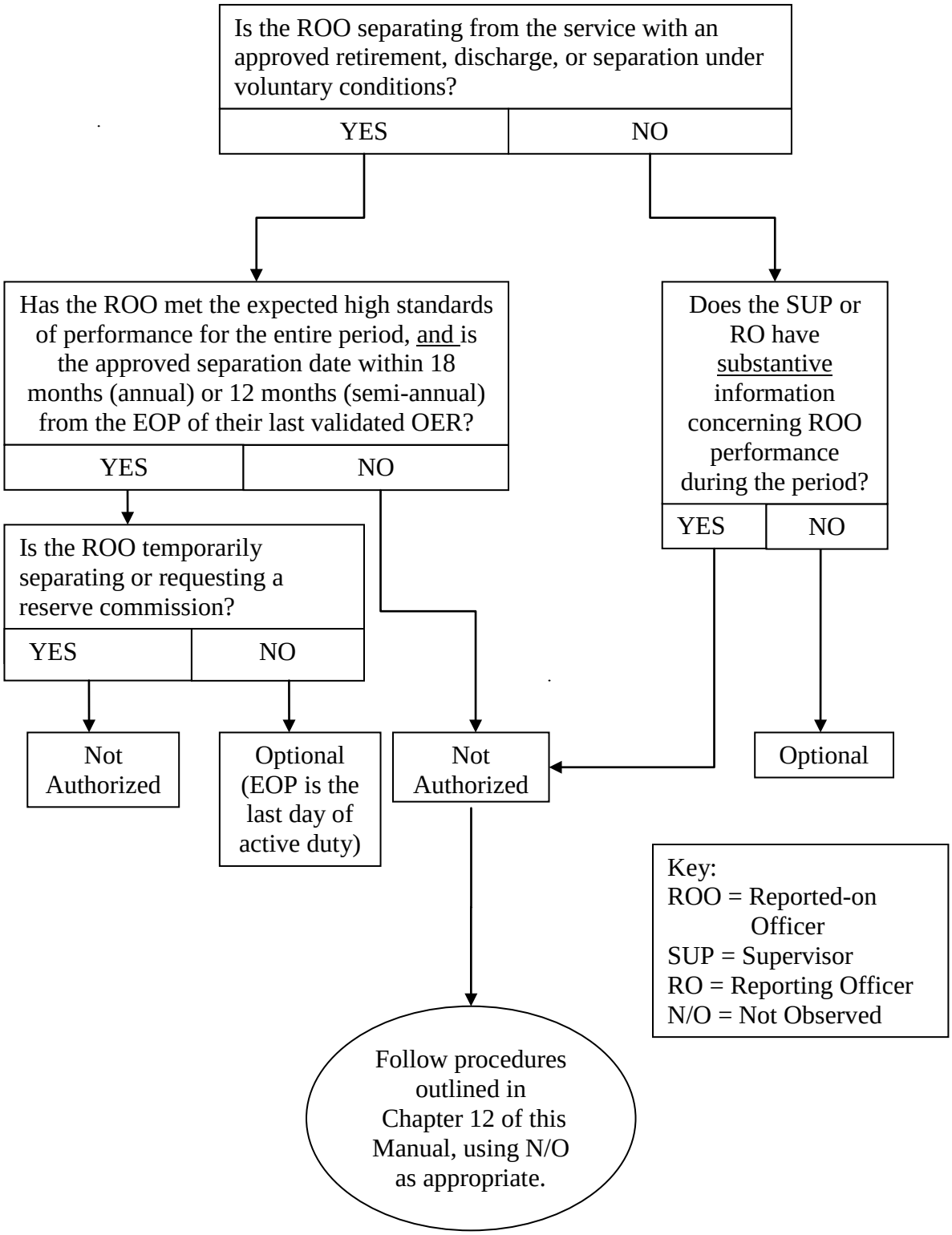
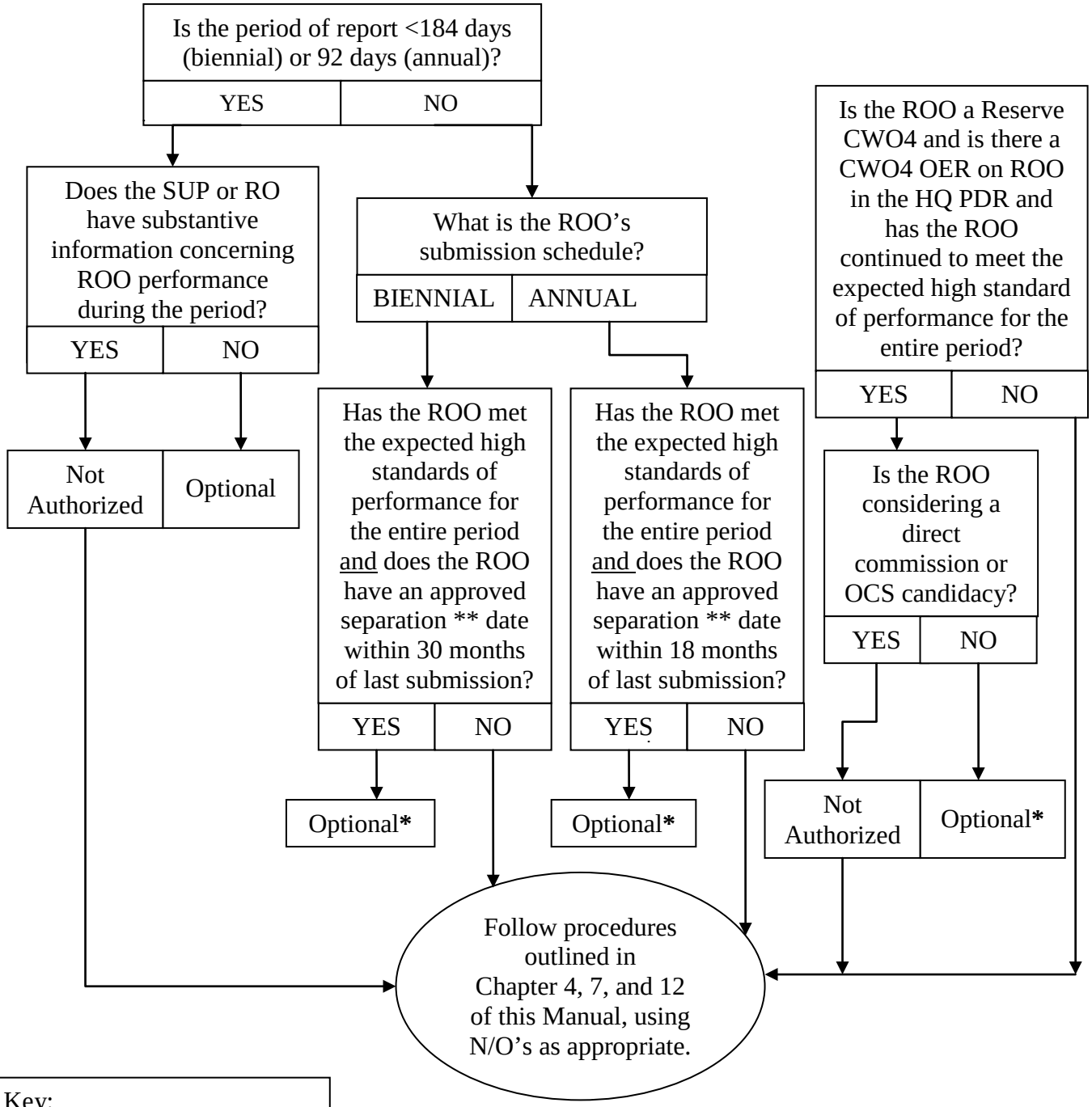


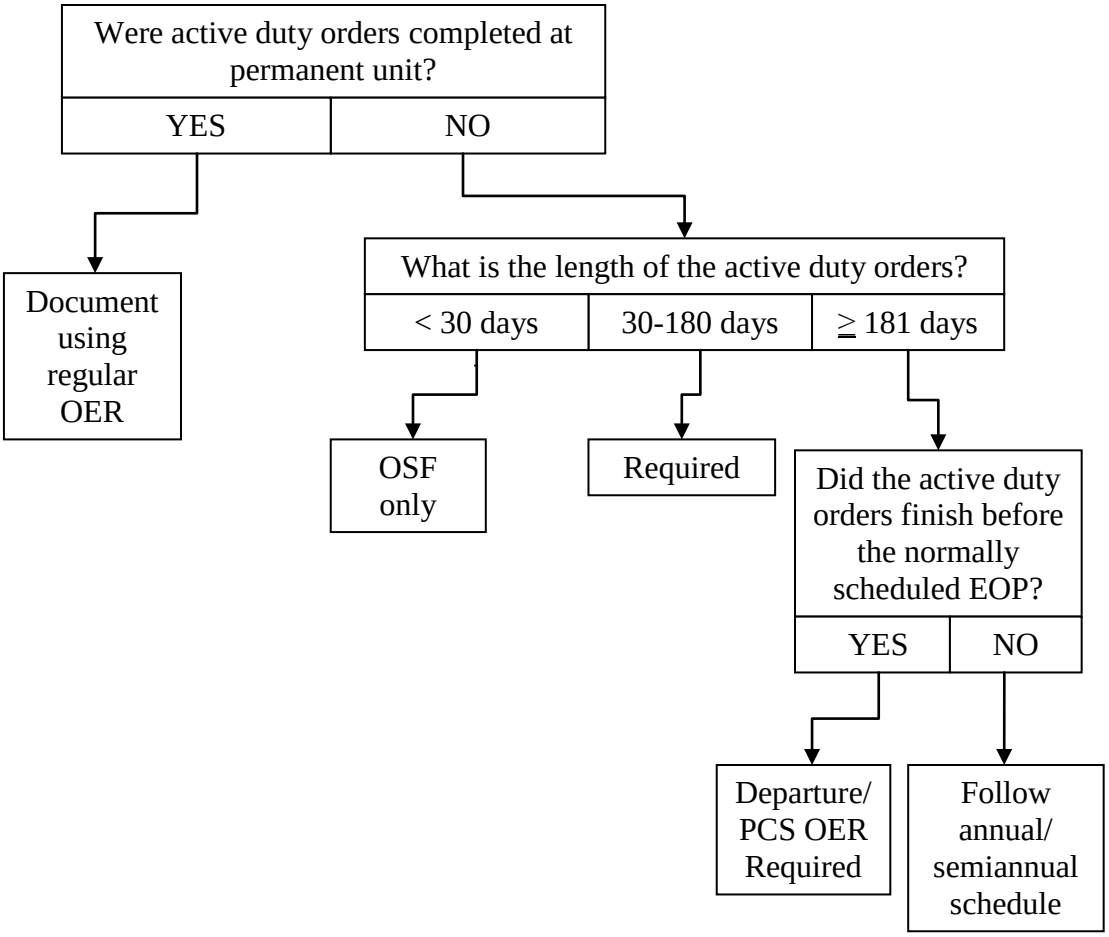
**Figure A-8 Reserve OER for Continuity Purposes**




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

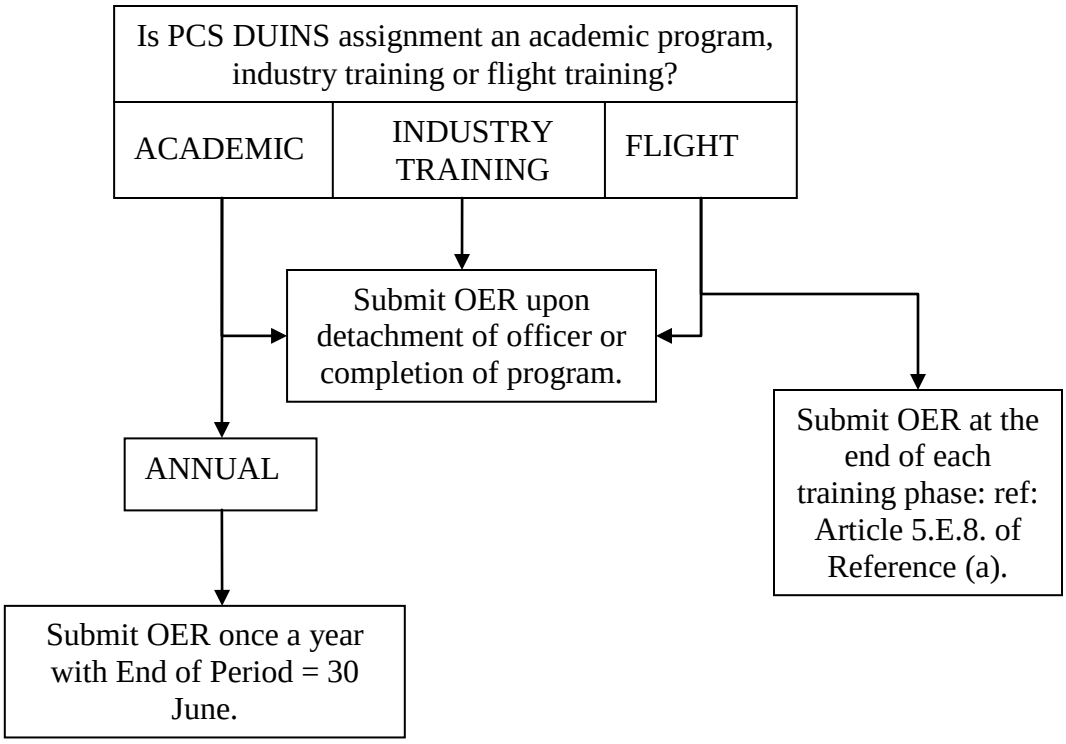
* In this instance, a regular OER must be completed if a continuity OER is not.
** Separations include retirement, discharge, and voluntary separations.

**Figure A-9 Reserve Concurrent OER**




Key:
EOP = End of Period
RO = Reporting Officer
ROO = Reported-On Officer

**Figure A-10 OER for Duty Under Instruction (DUINS)**




**Note - Officers in and above zone for promotion follow the regular DUINS submission schedule.**

Key:
ROO = Reported-on Officer

## Appendix B SAMPLE ADDENDUM AND ENDORSEMENTS

Reported-On Officer: (X. X. Xxxxx, Rank, EMPLID)
Period of Report: (Date) to (Date)
Reported-On Officer's Comments:

I desire to make the following comments in response to this evaluation report…

-OR-

I am aware of the performance report and decline comment. I have been counseled on the contents of Article 5.A.7.c. of the Officer Accessions, Evaluations, and Promotions Manual, COMDTINST M1000.3 (series).

*(Comments are limited to no more than 2 single-spaced pages (8 ½ X 11, 1" margins, font Times New Roman, minimum 12 point font size, typed on one side with no enclosures.)*

(Signature)
(Date)
Reported-On Officer

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(Rating chain members should comment on separate sheets)

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Reported-On Officer: (X. X. Xxxxx, Rank, EMPLID)
Period of Report: (Date) to (Date)
(*Supervisor/RO/Reviewer*)'s Comments:

The Supervisor shall be afforded an opportunity to address the Reported-On Officer's comments.

-OR-

"The Reported-on Officer's addendum is forwarded without comment."

(**Note**: *Comments, if provided, are limited to 1 single-spaced page (8 ½ X 11, 1" margins, font Times New Roman, minimum 12 point font size, with no enclosures.)*

**(**Signature)
(Date)
*Supervisor/RO/Reviewer*

## Appendix C JOB AID FOR OER ADDENDUM PROCESS, FORMS CG-5310A and CG-5310C

COMDTINST M1000.3 (series), Article 5.H.1. describes the processing requirements for a Derogatory OER. Consider this a checklist on how to draft and process Derogatory OERs and Addendums.

- ❑ Draft the Derogatory OER per the template provided by your assigned CG PSC-OPM-3 or CG PSC-RPM-1 case officer and return it to them for review. **Do not have any members sign**.
- ❑ After the assigned case officer ensures the OER is within policy, have Supervisor and RO sign OER (Reviewer does **NOT** sign the OER at this point – however, the Reviewer will draft Reviewer Comments regarding performance and/or potential significantly different than the Supervisor and RO at this time if they desire)
- ❑ Present the OER to Reported-on Officer for review. This starts the 14 day addendum process (28 day addendum process for IDPL). The ROO should use Appendix B as a template – Reference (a) Article 5.H.
    - o ROO is given a full 14 calendar days (28 calendar days for IDPL) to comment regardless of whether they desire to comment or not. If they do not wish to comment, they must still provide a statement stating the same.
    - o Ensure the member is counseled and fully understands the process per Article 5.H. of Reference (a). The assigned case officer will assist the ROO as well with their Addendum to ensure compliance with policy.
    - o Note: Prohibited comments listed in Article 5.I. of Reference (a) apply to the Addendum as well.
- ❑ After 14 days (28 days for IDPL), the Supervisor has the opportunity to provide comments on the addendum or to forward without comment (if no comment must still sign addendum...see template).
- ❑ After the Supervisor, the RO has opportunity to provide comments on their addendum or to forward without comment (if no comment must still sign addendum...see template).
- ❑ After the RO, the Reviewer looks at the package in totality (OER and Addendums) to ensure all are completed per policy. Reviewer then has opportunity to provide comments on the Addendum or to forward without comment. If no comment, the Reviewer signs and dates the OER on page 2.
- ❑ Give entire package (OER and Addendums) to ROO. ROO signs Block 7.a to signify that he/she has seen the entire package (OER and Addendums) and is aware of what is being submitted to CG PSC-OPM-3 or CG PSC-RPM-1.
- ❑ Send entire package (OER and Addendums) directly to assigned case officer (not to the CG PSC-OPM-3 or CG PSC-RPM-1 OER email repository).

## Appendix D JOB AID FOR OER ADDENDUM PROCESS, FORM CG-5310B

COMDTINST M1000.3 (series), Article 5.H.1. describes the processing requirements for a Derogatory OER. Consider this a checklist on how to draft and process Derogatory OERs and Addendums.

- ❑ Draft the Derogatory OER per the template provided by your assigned CG PSC-OPM-3 or CG PSC-RPM-1 case officer and return it to them for review. **Do not have any members sign**.
- ❑ After the assigned case officer ensures the OER is within policy, including any mandatory CG-5315s, the Supervisor signs the OER. (RO does **NOT** sign the OER at this point)
- ❑ Present OER to Reported-on Officer for review. This starts the 14 day addendum process (28 day addendum process for IDPL). The ROO should use Appendix B as a template – Reference (a) Article 5.H.
    - o ROO is given a full 14 calendar days (28 calendar days for IDPL) to comment regardless of whether they desire to comment or not. If they do not wish to comment, they must still provide a statement stating the same.
    - o Ensure the member is counseled and fully understands the process per Article 5.H. of Reference (a). The assigned case officer will assist the ROO as well with their Addendum to ensure compliance with policy.
    - o Note: Prohibited comments listed in Article 5.I. of Reference (a) apply to the Addendum as well.
- ❑ After 14 days (28 days for IDPL), the Supervisor has the opportunity to provide comments on the addendum or to forward without comment (if no comment must still sign addendum...see template).
- ❑ After the Supervisor, the RO looks at the package in totality (OER and Addendums) to ensure all are completed per policy. RO then has opportunity to provide comments on the Addendums or to forward without comment. If no comment, the RO signs and dates the OER.
- ❑ Give entire package (OER and Addendums) to ROO. ROO signs Block 7.a to signify that he/she has seen the entire package (OER and Addendums) and is aware of what is being submitted to CG PSC-OPM-3 or CG PSC-RPM-1.
- ❑ Send entire package (OER and Addendums) directly to case officer (not to the CG PSC-OPM-3 or CG PSC-RPM-1 OER email repository).

## Appendix E REPORTED-ON OFFICER OER REPLY TEMPLATE

dd Mmm YY

From: NAME, RANK USCG/USCGR

To: 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: REPORTED-ON OFFICER OER REPLY

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3A, Article 5.A.7.e.

As authorized by Reference (a), I request the below reply be filed with my evaluation report for the period (ddMmmyyyy) to (ddMmmyyyy).

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