



COMDTCHANGENOTE 1000
28 Nov 2016

COMMANDANT CHANGE NOTICE 1000

Subj: CH-6 TO OFFICER ACCESSIONS, EVALUATIONS, AND PROMOTIONS,
COMDTINST M1000.3A

1. PURPOSE. This Commandant Change Notice publishes a change to the Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3A.
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of Headquarters staff elements shall comply with the provisions of this Commandant Change Notice. Internet release is authorized.
3. DIRECTIVES AFFECTED. Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3A, is updated.
4. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.
5. MAJOR CHANGES. This Change updates the Officer Evaluation System (OES) policies and standards in Chapter 5 of this Manual.
 - a. Delegated additional authorities to Commander (CG PSC):
 - (1) Submission dates for biennial, annual, and semiannual OERs,
 - (2) Determination of which officers follow the DUINS schedule,
 - (3) Designation and responsibilities of the rating chain, and
 - (4) Ability to grant exceptions to policy and standards for this Chapter.

DISTRIBUTION – SDL No. 168

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A	X	X	X	X	X	X	X		X	X		X	X	X	X	X	X		X		X					
B		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
C	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
D	X	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X				
E	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X		X	X			X	X		
F																	X	X	X							
G		X	X	X	X																					
H																										

NON-STANDARD DISTRIBUTION:

- b. Removed “Special” OER terminology. The word “Special” was used due to limited space on the OER form. Each occasion of report is now listed and OER’s are categorized as “Regular” and “Non-regular” on all OER forms in accordance with this policy.
- c. Comments with 4, 5, or 6 no longer require written support. This change will allow rating chains the flexibility to comment on significant performance factors during the marking period.
- d. All reported on officers must receive mid-period counseling, which will be documented on the OER form.
- e. All Inactive Duty Promotion List (IDPL) officers who are subject to a retention board must submit an OER.

6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

- a. The development of this Commandant Change Notice and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Commandant Change Notice contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
- b. This Commandant Change Notice 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 Commandant Change Notice 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.

7. DISTRUBUTION. No paper distribution will be made of this Commandant Change Notice. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives/>, and CGPortal: <https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.

8. PROCEDURE. Remove and replace the following sections of Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3A

Remove
Table of Contents, CH-5
Chapter 5

Replace
Table of Contents, CH-6
Chapter 5

9. RECORDS MANAGEMENT CONSIDERATIONS. This Commandant Change Notice has been thoroughly reviewed during the directives clearance process, and it has been determined there are records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series).
10. FORMS/REPORTS. The forms referenced in this Commandant Change Notice are available in USCG Electronic Forms on the Standard Workstation or on the Internet:
<http://www.uscg.mil/forms/> and CG Portal
<https://cgportal2.uscg.mil/library/forms/SitePages/Home.aspx>;
11. REQUEST FOR CHANGES. Units and individuals may recommend changes via the chain of command to HQS-PolicyandStandards@uscg.mil.

K. B. HINRICHS /s/
Rear Admiral, U.S. Coast Guard Reserve
Director of Reserve and Military Personnel

THIS PAGE INTENTIONALLY BLANK

Table of Contents

CHAPTER 1	PROCUREMENTS AND APPOINTMENTS.....	1-1
1.A.	Appointing Regular Commissioned Officers.....	1-1
1.A.1.	General.....	1-1
1.A.2.	Statutory Authority to Appoint U.S. Coast Guard Academy Graduates	1-1
1.A.3.	Statutory Authority to Appoint Temporary Officers	1-1
1.A.4.	Appointing Officer Candidate School Graduates	1-2
1.A.5.	Appointing Licensed U.S. Merchant Marine Officers.....	1-3
1.A.6.	Appointing the Coast Guard Band Director.....	1-3
1.A.7.	Appointing Physician Assistants	1-5
1.A.8.	Integrating Reserve and Temporary Regular Officers.....	1-6
1.A.9.	Processing Officers Who Do Not Integrate	1-8
1.A.10.	Recalling Retired Regular Officers.....	1-10
1.A.11.	Appointing or Re-appointing Regular Officers from the Temporary Disability Retired List	1-12
1.A.12.	Security Investigations for Officers' Original Appointment	1-13
1.B.	Reserve Officers on Active Duty.....	1-14
1.B.1.	Initial Active Duty and Recall to Active Duty.....	1-14
1.B.2.	Retention on Extended Active Duty	1-14
1.B.3.	Appointing Reserve Program Administrators (RPAs).....	1-17
1.B.4.	Reserve Program Administrator's Voluntary Transfer to ADPL	1-20
1.B.5.	Officer Candidate School.....	1-20
1.B.6.	Recalling Retired Reserve Officers	1-30
1.B.7.	Security Investigations for Original Appointment of Reserve Officers	1-30
1.B.8.	Interviewing Procedures for Officer Recruiting Programs	1-30
1.B.9.	Officer Programs Interviewing Guidelines.....	1-32
1.C.	U.S. Coast Guard Selected Reserve Direct Commission Officer.....	1-38
1.C.1.	General.....	1-38
1.C.2.	Application Procedures.....	1-40
1.C.3.	Selection for Appointment.....	1-42
Exhibit 1.C.1.	Statement of Understanding, SELRES DCO Program.....	1-42
Exhibit 1.C.2.	Direct Commission Officer Applicant Form	1-44
COAST GUARD RECRUITING COMMAND:.....	1-44	
1.D.	Appointment as Warrant Officer.....	1-45
1.D.1.	General.....	1-45
1.D.2.	Eligibility Requirements for Appointment to Warrant Grade	1-45
1.D.3.	Recommendation Procedures.....	1-48
1.D.4.	Normal Path of Appointment.....	1-50
1.D.5.	Credit for Time in Grade (TIG) and Active Duty Time in Service (TIS).....	1-51
1.D.6.	Preboard Results	1-52

1.D.7.	Preparation and Distribution of Recommendation Files and Resume	1-53
1.D.8.	The Board Process	1-55
1.D.9.	The Postboard Process and Final Eligibility List.....	1-57
1.D.10.	Removal from Eligibility Lists (Preboard or Final).....	1-58
1.D.11.	Procedure for Appointment to Warrant Grade.....	1-62
1.D.12.	Appointment Ceremony.....	1-64
1.D.13.	Scope of Warrant Specialties.....	1-65
1.D.14.	Appointment as Warrant Officer (Bandmaster).....	1-72
1.D.15.	Appointment as Warrant Officer (Criminal Investigator)	1-76
1.D.16.	Appointment as Specialty Force Manager (SFM)	1-79
1.E.	Appointment as U.S. Coast Guard Cadet.....	1-82
1.E.1.	General.....	1-82
1.E.2.	Eligibility Requirements	1-82
1.E.3.	Application.....	1-85
1.E.4.	Selection.....	1-86
1.E.5.	Responsibilities	1-94
1.F.	Reserved.....	1-96
1.G.	Appointing Regular Coast Guard or Navy Officers to the Coast Guard Reserve.....	1-97
1.G.1.	General.....	1-97
1.G.2.	Board Applicants	1-97
1.G.3.	Board Recommendations to the Secretary.....	1-98
1.G.4.	Date of Rank and Precedence Determination	1-98
1.G.5.	Appeals	1-99
CHAPTER 2	GRADES AND SPECIALTIES.....	2-1
2.A.	Grades of Officers.....	2-1
2.A.1.	Commissioned and Chief Warrant Officers.....	2-1
2.A.2.	Chief Warrant Officer Specialties and Temporary Lieutenants	2-1
2.A.3.	Manner of Addressing Officers	2-3
2.A.4.	Active Duty Promotion List and Lineal List.....	2-3
2.A.5.	Date of Rank	2-3
2.A.6.	Commencement of Pay and Allowances	2-4
2.B.	Order of Precedence	2-5
2.B.1.	Precedence of Coast Guard Commissioned Officers in the Grade of Ensign or Above.....	2-5
2.B.2.	Precedence of Chief Warrant Officers of the Coast Guard.....	2-6
2.B.3.	Precedence with Relation to Officers of Other Services	2-7

CHAPTER 3 PROMOTING COMMISSIONED OFFICERS 3-1

3.A. Promoting Commissioned Officers 3-1

3.A.1. General 3-1

3.A.2. Active Duty Promotion List (ADPL)..... 3-2

3.A.3. Number and Distribution of Commissioned Officers 3-3

3.A.4. Selecting and Promoting Officers on the Active Duty Promotion List from Lieutenant (Junior Grade) Through Rear Admiral (Lower Half)..... 3-4

3.A.5. Selecting and Promoting Ensigns to Lieutenant (Junior Grade)..... 3-9

3.A.6. Selecting and Promoting U.S. Coast Guard Reserve Officers on Active Duty as Reserve Program Administrators (RPAs)..... 3-10

3.A.7. Promotion of Officers on the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy 3-13

3.A.8. Selecting and Promoting Retired Officers Recalled to Active Duty 3-16

3.A.9. Selecting and Promoting the Coast Guard Band Director 3-18

3.A.10. Wartime Temporary Service Promotions 3-19

3.A.11. Procedures to Permanently Appoint Reserve and Temporary Officers..... 3-20

3.A.12. Procedures to Promote Officers 3-22

3.A.13. Frocking Officers Selected for the Next Higher Grade 3-23

3.B. Promoting Chief Warrant Officers 3-26

3.B.1. General 3-26

3.B.2. Warrant Officer Utilization..... 3-26

3.B.3. Selection Process 3-27

3.B.4. Consideration by the Next Annual Selection Board 3-30

3.B.5. Removal from a Promotion List 3-32

3.B.6. Procedures for Effecting Promotion of Warrant Officers..... 3-32

3.B.7. Selection and Promoting Retired Warrant Officers Recalled to Active Duty 3-33

3.B.8. Selective Early Retirement Boards (SERB) 3-34

3.B.9. Lateral Change in Warrant Specialty 3-36

3.B.10. Appointing Chief Warrant Officers as Temporary Officers (14 U.S.C. § 214)..... 3-36

CHAPTER 4 (RESERVED) 4-1

CHAPTER 5 OFFICER EVALUATION SYSTEM (OES) 5-1

5.A. Overview 5-1

5.B. Roles and Responsibilities 5-1

5.C. OES Standards and Policies..... 5-3

5.D. OER Rating Chain..... 5-5

5.E. Occasions for Regular OERs 5-6

5.F. Occasions for Non-Regular OERs..... 5-11

5.G. Exceptions from submitting an OER 5-13

5.H. Derogatory OERs..... 5-13

5.I. Prohibited Comments 5-14

5.J. Required Comments 5-16

5.K. Replies to OERs..... 5-16

- 5.L. IDPL schedule specific OERs 5-16**
- 5.M. Retired Officers Recalled to Active Duty..... 5-17**
- 5.N. Correction of OERs and Military Records..... 5-17**
- 5.O. Definitions..... 5-18**

CHAPTER 6 PERSONNEL BOARDS 6-1

- 6.A. Commissioned and Chief Warrant Officer Personnel Boards 6-1**
 - 6.A.1. General..... 6-1
 - 6.A.2. Board Purposes 6-1
 - 6.A.3. Selection Criteria 6-2
 - 6.A.4. General Procedures for All Boards 6-4
 - 6.A.5. Procedure for Boards Considering Officers on a Fully-Qualified Basis 6-5
 - 6.A.6. Procedure for Boards Considering Officers on a Best-Qualified Basis..... 6-6
 - 6.A.7. Procedure for Boards Considering Officers on Both a Fully-Qualified and Best-Qualified Basis..... 6-8
- 6.B. Selection for Promotion..... 6-10**
 - 6.B.1. Selection Boards for Promotion from Lieutenant (Junior Grade) Through Rear Admiral (Lower Half) 6-10
 - 6.B.2. Selection Boards for Promotion from Ensign to Lieutenant (Junior Grade) 6-12
 - 6.B.3. Selection Boards for Promoting RPAs 6-13
 - 6.B.4. Selection Boards for Promotion of Officers on the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy..... 6-15
 - 6.B.5. Selection Boards for Promoting Retired Officers Recalled to Active Duty 6-19
 - 6.B.6. Selection Boards for Officers Recalled from the Temporary Disability Retired List 6-20
 - 6.B.7. Selection Boards for Promoting the Coast Guard Band Director 6-21
 - 6.B.8. Boards to Designate Reserve Officers as Reserve Program Administrators 6-22
 - 6.B.9. Selection Boards for Promoting Chief Warrant Officers..... 6-23
 - 6.B.10. Selection Boards to Continue Active Duty Promotion List Captains on Active Duty 6-24
 - 6.B.11. Selection Board to Continue Reserve Program Administrator (RPA) Captains on Active Duty 6-26
 - 6.B.12. Screening, Selection, and Appointment of Officers to the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy 6-28
 - 6.B.13. Special Selection Boards (SSB)..... 6-31
 - 6.B.14. Specialty Considered Selections (SCS) 6-36

Chapter 5 Officer Evaluation System (OES)

A. Overview. This Chapter states policies and standards for conducting performance evaluations for Coast Guard officers.

1. Purpose. The Officer Evaluation System documents and drives officer performance and conduct in accordance with Service values and standards. This information is used to support personnel management; primarily selection boards and panels, retention, and assignments

2. Applicability.

a. All active duty officers in the grade of W-2 to O-6 must receive officer evaluation reports (OERs).

b. All IDPL officers in the grade of W-2 to O-6 must receive officer evaluation reports (OERs).

c. Retired officers recalled to active duty may receive OERs in accordance with Article 5.M. of this Manual.

d. Flag officers are managed under a separate system.

e. Public Health Service (PHS) officers are evaluated under a separate system.

B. Roles and Responsibilities.

1. Commandant (CG-133) must:

a. Establish and maintain policy governing OERs.

b. Provide policy guidance to Commander (CG PSC).

2. Commander (CG PSC) has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CG PSC-OPM-3) or Commander (CG PSC-RPM-1). Servicing of an officer's personnel record is accomplished by Commander (CG PSC-BOPS-C-MR).

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

a. Maintain all forms and issue procedural instructions to implement the policies and standards of this Chapter. Make policy recommendations to Commandant (CG-133).

b. Review and validate OERs for administrative and substantive errors with attention given to inconsistencies between the numerical evaluations and written comments (if applicable).

- (1) May return any OER requiring significant correction or redaction to the appropriate member of the rating chain.
 - (2) Correct OERs containing minor administrative errors or as directed by judicial or administrative adjudications without return to the rating chain.
 - (3) The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure OERs have been prepared in accordance with this Chapter's policies and standards.
 - (4) Provide final quality control review of OERs containing substantive errors, including "restricted" remarks as outlined in Article 5.I. of this Chapter. Certain corrective measures may be taken to expedite validation of OERs, reviewer comments, OER replies, and addenda.
- c. Serve as reviewer on an OER in unusual circumstances.
- d. Provide training and guidance:
- (1) on the OES, subject to resource availability.
 - (2) to rating chains as requested.
 - (3) for civilian employees assigned rating chain responsibilities.
- e. Determine which officers, if any, must use the Office Support Form (OSF), Form CG 5308.
- f. Grant or deny exceptions to policies and standards as permitted in this Chapter.
- g. Report annually on the health of the OES to Commander (CG PSC). Statistical trends and conclusions will be included in the report, plus recommended changes for the current year and identification of issues and/or changes under consideration.
- h. Publish Coast Guard Officer Evaluation System Procedures Manual, PSCINST M1611.1 (series) to discuss procedure and expanded guidance on OER completion and submission.
4. Commander (CG PSC-BOPS-C-MR) must:
- a. Maintain the validated OER as a part of the Electronically Imaged Personnel Data Record (EI-PDR) in accordance with Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).
 - b. Respond to individual inquiries and requests related to those records, including missing copies of OERs and requests for copies of reported-on officer's EI-PDR.

5. For this Chapter, commanding officers include area and district commanders, commanders of logistics/service centers, commanding officers of Headquarters units and subordinate units or organizations, and cutters. Commanding officers must:

- a. Ensure accurate, fair, and objective evaluations are provided to all officers under their command. In using the OER, strict and conscientious adherence to specific wording of the standards is essential to realizing the purpose of the evaluation system.
- b. Ensure members of the rating chain carry out their OES responsibilities.
- c. Implement the OES for all Coast Guard officers within their commands.
- d. Designate and publish the command's rating chains.
- e. Establish procedures that ensure timely submission of OERs. Ensure OERs for officers eligible for promotion or panel action are not delayed.
- f. Provide local oversight and accountability for the proper preparation of OERs. Commanding officers are encouraged to monitor OERs submitted by the designated rating chain within their commands as a means of ensuring consistency.
- g. Require mid-period counseling.
- h. Encourage recurring training, for all officers within their commands, on OES policies, standards, procedures, and forms.
- i. Obtain training from Commander (CG PSC) for civilian employees and non-Coast Guard officers who perform the duties of either supervisor or reporting officer. Civilians must not be assigned to a rating chain before receiving OES training certification from Commander (CG PSC) and having incorporated the OES rating chain responsibilities in their Core Competencies.
- j. Ensure performance in meeting requirements of the Coast Guard occupational health and safety program are documented appropriately and consistently with the reported-on officer's assigned responsibilities and authority. (This Article complies with Article 1960.11 of 29 CFR XVII.)

C. OES Standards and Policies . The following standards and policies apply to the entire Chapter, unless explicitly amended by another article in this Chapter.

1. The OES must document every day of an officer's commissioned service, unless they are:
 - a. a flag officer,
 - b. retired, or

- c. assigned to the Inactive Status List (ISL).
2. All Reported-On Officers must be counseled on their performance during the reported period. The Reported-on Officer is responsible to ensure this session takes place and is documented.
3. OERs may only be submitted in accordance with, and for occasions listed in, Articles 5.E. and 5.F of this Manual.
4. The period of report must not exceed:
 - a. 30 months for officers on a biennial schedule,
 - b. 18 months for officers on an annual schedule, and
 - c. 12 months on a semiannual schedule.
5. The only exceptions to Article 5.C.4. of this Manual are:
 - a. Duty under instruction (DUINS) OERs (see Article 5.E.8. of this Manual), or
 - b. Continuity OERs for the period an IDPL officer is in the Individual Ready Reserve (IRR) or Active Standby list (ASL) (see Article 5.E.9. of this Manual).
6. Periodically, officers may experience circumstances due to a temporary condition which result in a limited opportunity to perform. These circumstances may involve specific performance restrictions (e.g., those imposed by a medical authority), which require restructuring or reassignment of duties. While preferential treatment must not be given, the rating chain must ensure these individuals do not receive substandard evaluations strictly as a consequence of these circumstances.
7. The rating chain, in consultation with the health care providers, must establish a “reasonable expectation of performance” given the individual’s current circumstances. In particular, rating chain must determine whether or not an individual requires reassignment to a different work environment and/or restrictions on performing specific types of tasks. Additionally, reduced work hours may be necessary. When considering reassignment or restructuring of duties, the rating chain must identify service needs which complement the temporarily limited abilities of the officer.
8. Officers who have been frocked (excluding captains serving as flag officers) must follow the schedule for their actual pay grade, not for the grade to which they have been frocked.
9. Officers promoted during a reporting period must follow the submission schedule for the promoted pay grade to determine when their next OER is due. The reported-on officer’s grade on the occasion of the “promotion of officer” OER is the grade prior to promotion.

10. Officers with both a temporary and a permanent commission (such as CWO to LT) will follow the higher commission's schedule and standards.

D. OER Rating Chain. The rating chain is the succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER. Commander (CG PSC) must promulgate designation and responsibilities for each member of the rating chain, taking into account the nature of the occasion the OER.

1. For reported-on officers receiving a DUINS OER, rating chains will be individuals within the appropriate program managing office. Program managers will designate the rating chain for reported-on officers, including captains, assigned to DUINS programs.
2. For captains receiving a DUINS OER, the reporting officer and reviewer must be a Coast Guard flag officer or Coast Guard Senior Executive Service member from the appropriate headquarters program managing office.
3. For captains attending Senior Strategic Groups (SSG), the reporting officer and reviewer must be a Coast Guard flag officer, Coast Guard Senior Executive Service member, or service equivalent (e.g., Chief of Naval Operations for the CNOS SSG) unless the reporting officer is at least equivalent to a Coast Guard flag officer or SES (e.g., White House, DHS, other services).
4. 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 comments on 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 comment on Comments, Form CG-5315.
5. In instances where a rating chain member is unavailable or disqualified to carry out their responsibilities and if not already determined by the commanding officer, it is incumbent on the reported-on officer to identify the next senior officer in the chain of command that an exception to the rating chain may exist and an appropriate substitute for evaluating the reported-on officer must be designated. 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.

E. Occasions for Regular OERs. A regular OER is a report that qualifies for continuous chronological coverage of the reported-on officer's commissioned service. All OERs listed are Regular OERs.

1. Amount of days. Multiple Articles within Article 5.E. of this Manual reference the following days.
 - a. All IDPL schedule officers and Annual ADPL schedule officers. 184 days
 - b. Semiannual ADPL schedule officers. 92 days
2. Biennial, annual, or semiannual. Officers must receive biennial, annual, or semiannual OERs unless exempted by a policy in Article 5.E. of this Manual.
 - a. Submission Schedule. Commander (CG PSC) must promulgate when biennial, annual, or semiannual OERs must be submitted, making allowances for differences in pay-grade, promotion lists, active duty orders, and any other concerns.
 - b. Required Submission. No officer above or in zone for consideration for promotion, as announced by Commander (CG PSC), may choose not to submit a biennial, annual, or semiannual OER waived in favor of a later regular OER.
 - c. Optional submissions.
 - (1) Any officer who received another regular OER, within the time frame specified in Article 5.E.1. of this Manual, prior to the required submission may choose not to submit a biennial, annual, or semiannual OER submission requirement. This includes officers above or in zone for consideration for promotion.
 - (2) Officers who are not above or in zone for consideration for promotion and who expect to receive another type of regular OER within the time frame specified in Article 5.E.1. of this Manual after the biennial, annual, or semiannual OER is due may choose not to submit a biennial, annual, or semiannual OER.
 - (3) Officers, regardless if the officer is above or in zone, with an approved retirement, separation, or resignation letter on file may choose to submit a Continuity OER in lieu of a biennial, annual, or semiannual OER in accordance with Article 5.E.9 of this Manual.
 - (4) Newly commissioned officers who have been at their first unit less than 120 days may choose to not submit a biennial, annual, or semiannual OER, provided the next regular OER does not exceed the period of report limit in Article 5.C.4. of this Manual.

3. Change of the Reporting Officer (RO).

a. Required Submission. Officers must receive this OER when their RO detaches or changes in the rating chain and more than the following number of days have elapsed since the ending date of the last regular OER:

(1) Biennial. 365 days or 366 days if it is a leap year

(2) ADPL and IDPL Annual. 184 days

(3) Semiannual. 92 days

b. Optional submission. Article 5.E.3.a. of this Manual does not apply when the reported on officer has an approved retirement, separation or discharge on file and is planning on submitting a continuity OER.

4. Detachment on Permanent Change of Station (PCS) Orders or Separation from the Service of the Reported-on Officer.

a. Officers must receive this OER when they execute a PCS and exceed the time limits specified in Article 5.E.1 of this Manual.

b. All ADPL schedule officers must receive this OER when they leave active duty, regardless of the length of period for the report. The period of the report must end on the final day of active service, including days on terminal leave. Separations include:

(1) retirement,

(2) release from active duty of Reserve commissioned officers,

(3) discharge of Regular commissioned officers regardless of accession into the Reserve.

(4) Change of component for ADPL submission schedule to/from IDPL submission schedule or any change of category within the Reserve component.

c. All IDPL schedule officers must receive this OER when they leave active status, regardless of the length of period for the report. The period of report must end on the final day of active status. Separations include:

(1) retirement,

(2) discharge,

(3) transfer to the Inactive Status List (ISL)

- d. For separating members, with the concurrence between the rating chain and the reported-on officer, a continuity OER is authorized instead of this OER in accordance with Article 5.E.9. of this Manual.
5. Promotion or Appointment of Officers. Certain officers must submit this OER for promotion or appointment to a higher grade, with the period of report ending on the last day at the previous grade.
- a. Required Submission.
 - (1) Captains promoted or frocked to flag grade must submit this OER. With the concurrence between the rating chain and the reported-on officer, a continuity OER is authorized instead of this OER in accordance with Article 5.E.8. of this Manual.
 - (2) Commanders promoted to captain and CWO appointed to LT must submit this OER, if more than the 184 days have occurred since the last regular OER:
 - (3) For all other promotions and appointments not explicitly listed in this Article, this OER must be submitted only if the next biennial, annual, or semiannual OER will result in a time period greater than the limits allowed in Article 5.C.4. of this Manual.
 - b. Optional Submission. This OER is never optional and must not be submitted unless explicitly required under Article 5.E.5.a. of this Manual.
6. For Consideration by Selection Panels or Boards.
- a. This OER must be submitted on a non-submission year for biennial schedule officers that are:
 - (1) in or above zone for promotion,
 - (2) subject to a retention board convened under 10 U.S.C. 741.
 - b. 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. The period of report must be at least the amount of time specified in Article 5.E.1. of this Manual.

7. Removal from Primary Duty (RPD).

- a. 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 (q), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series).
- b. The OER will be defined as derogatory and must follow the policies and standards for derogatory OER stated in Article 5.H. of this Manual.
- c. Reassignment not constituting RPD as provided in Reference (q), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series), is not derogatory and therefore does not require a RPD OER.

8. Duty Under Instruction (DUINS). A DUINS OER is not an occasion for report, and may only be submitted for a reason in Articles 5.E.2 to 5.E.7. of this Manual.

a. Commander (CG PSC) must:

- (1) determine which officers, based on their assignment, will follow this schedule in lieu of Article 5.E.2. of this Manual.
- (2) promulgate when DUINS OERs must be submitted, making allowances for differences in pay-grade, promotion lists, active duty orders, and any other concerns.

b. OER submission will be submitted once a year at a minimum. The period of report must not exceed 18 months; this includes ensign and lieutenant (junior grade) submissions. Officers in and above zone for promotion must follow the regular DUINS submission schedule.

c. When a reported-on officer is assigned PCS duty under instruction to industry training, DUINS OERs must be submitted upon detachment of the officer or completion of the program.

d. When a reported-on officer is assigned PCS duty under instruction to flight training, OERs must be submitted at the end of each training phase.

e. Senior Strategic Group (SSG) students must not receive DUINS OERs.

9. Continuity OER. This OER may be submitted in cases where full documentation is impractical, impossible to obtain, or does not meet OES goals. A continuity OER is not an occasion for report, and may only be submitted for a reason in Articles 5.E.2 to 5.E.7. of this Manual.

- a. Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) may reject any continuity OER and require the rating chain to submit a regular or non-regular OER instead of the continuity OER.
- b. A continuity OER may be submitted in lieu of a biennial, annual, or semiannual under the following circumstances.
 - (1) IDPL schedule CWO4s who have at least one fully documented OER, validated and in the EI-PDR at the CWO4 grade, and continue to meet the expected high standard of performance may submit continuity OERs thereafter. Exception: CWO4s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria must submit fully documented OERs as occasion for report dictates.
 - (2) The officer was on leave or unobserved for the entire period of report.
- c. A continuity OER may be submitted in lieu of a Departure/Separation from the Service OER for any officer with approved separation within the time standards listed in Article 5.C.4 of this Manual of the last regular OER submission.
- d. Officers requesting reserve commissions, temporary separation, or being released from active duty (RELAD) may not apply these criteria.
- e. Commander (CG PSC) may issue a continuity OER to implement judicial and administrative adjudications.
- f. A continuity OER may be submitted for captains selected for promotion or frocked to flag grade.
- g. Commander (CG PSC-RPM-1) must complete a continuity OER for non-drilling officers assigned to either the Individual Ready Reserve (IRR) or the Active Status List (ASL) and who are being considered for selection for promotion.
 - (1) This OER may exceed the time standards listed in Article 5.C.4.
 - (2) This occasion for report of this OER is "For Consideration by Selection Panels or Boards."
 - (3) This OER must end on the date required by Article 5.E.2. for other officers receiving a biennial or annual OER and who are also being considered for selection for promotion.

F. Occasions for Non-Regular OERs. The OERs listed in this Article do not count for continuity.

1. Concurrent. A concurrent OER is an OER submitted outside of the regular submission schedule in addition to a regular OER and thus does not count for continuity.

a. The unit to which the reported-on officer is permanently attached is always responsible for ensuring that OER continuity is maintained with regular OERs. The permanent unit's OER is never considered a concurrent report.

b. Concurrent reports may be submitted only when the officer is:

(1) On active duty and performing temporary duty (TDY) away from a permanent station while being observed by a senior officer other than the regular reporting officer, (e.g., senior aviator deployed aboard a Coast Guard icebreaker). In this case, the concurrent report normally will be written upon the detachment of the TDY officer and cover only the period of temporary duty. This is an optional OER and will be submitted at the discretion of the TDY command. A TDY concurrent OER must be for a period of at least 60 days.

(2) Performing an internship or training at a Coast Guard unit (e.g., Law student, legal staff intern) while in a DUINS status. In this case, the concurrent report normally will be written upon completion of the internship and cover only the period of the internship. A concurrent OER for an internship must be for a period of at least 14 days.

(3) Filling separate or distinct billets or command functions under different commanding officers.

(4) Filling a billet for which technical control and administrative control are separated, such as senior contracting officers.

(5) Commanding a unit for which operational control and administrative control are separated, (e.g., units assigned to International Ice Patrol, Deep Freeze Operations).

(6) Commanding a unit with divided operational control.

2. Subsequent to Substandard Performance or Conduct. 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.

3. Subsequent to Disciplinary Action.

- a. 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, must 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 (r), Discipline and Conduct, COMDTINST M1600.2 (series).
- b. 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 must be prepared. In courts martial cases, this OER must be initiated once the convening authority has taken action and the finding of guilty has not been disapproved.
- c. The reporting period for this report will be the day that the proceedings were completed. The report must clearly state:
 - (1) 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),
 - (2) Any punishment imposed as a result of criminal conviction or non-judicial punishment, and
- d. Other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation must 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 must be marked "not observed". A comparison or rating scale mark and comments on the officer's potential are required.
- e. If the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period, a Subsequent to Disciplinary Action OER is not required if the process is completed, i.e., not subject to further review, by the time that the regular report is due to be submitted for the current period (within 30 days from the end of period of report). The basis for the court-martial, non-judicial punishment, or investigation must be reported in the regular report.

4. To Document Significant Historical Performance. 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.

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

- b. 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.
- c. This OER must be initiated by the original rating chain unless they are unavailable or disqualified.
- d. The reviewer must be a flag officer. Commander (CG PSC) must promulgate additional rating chain standards in accordance with Article 5.D. of this Manual.

5. Miscellaneous. When specifically directed by another article in this Manual. This OER may count for continuity, depending upon the circumstances which prompt its submission.

G. Exceptions from submitting an OER. The welfare of the reported-on officer must be considered along with system goals when determining the appropriate time to submit an OER. Exceptions to the normal submission schedule will not be granted without indicating extraordinary circumstances. Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) may not issue an exception to policy that would violate OER period of report limits in Article 5.C.4. of this Manual.

- 1. Occasion for Exceptions. The reported-on officer may request an exception to policy to Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) to the submission schedule, including deadlines for derogatory OER addenda and OER replies.
- 2. Submitting a request for exception to policy. Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) must promulgate procedures and contact for requesting an exception to policy.

H. Derogatory OERs. A derogatory OER is any regular or non-regular OER that indicate the Reported-on officer has failed in the accomplishment of assigned duties.

- 1. Derogatory reports are only those OERs which:
 - a. contain a numerical mark of one in any performance dimension, and/or
 - b. contain an “unsatisfactory” mark by the reporting officer in comparison scale or rating scale, and/or
 - c. documents conduct or performance which is adverse or below standard and results in the removal of a member from their primary duty or position.
- 2. The rating chain must provide an authenticated copy to the reported-on officer and counsel the reported-on officer of their option to prepare an addendum.
- 3. The reported-on officer has the option to prepare an addendum limited to two pages with no enclosures.

4. The supervisor and the reporting officer must be afforded the opportunity to address the reported-on officer's addendum via individual one page signed endorsements to the reported-on officer's addendum.
5. The reporting officer will then forward the OER and attachments to the reviewer.
6. The reported-on officer's addendum does not constitute an official request for correction of a record but provides the reported-on officer an opportunity to explain the failure or provide their views of the performance in question.
7. Commenting or declining comment does not preclude the reported-on officer from an official request for correction of the record in accordance with Correcting Military Records, COMDTINST 1070.1 (series) or submitting an OER Reply under Article 5.K. of this Manual.
8. If the reported-on officer declines to make an addendum, they must so indicate by attaching the following statement: "I am aware of the contents of the performance report and decline comment."
9. If the reported-on officer fails to provide either an addendum or statement declining an addendum within 14 days for ADPL schedule officers and 28 days for IDPL schedule officers, the reporting officer must forward the OER to the reviewer noting that an addendum was solicited and not received. In such cases, the reviewer must prepare a Reviewer addendum specifically stating that an addendum was solicited but not received.
10. The reviewer must ensure that the evaluation of the reported-on officer is consistent and that the derogatory information is substantiated. If the reviewer finds otherwise, they must 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.

I. Prohibited Comments. The rating chain must 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), Coast Guard Board for Correction of Military Records (BCMR), or any other investigation (including discrimination investigations) except as required by a non-regular OER. Referring to the fact conduct was the subject of a proceeding of a type described above is permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under Article 5.K. of this Manual. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to the proceeding itself.

2. Consider or evaluate the performance of any officer as a member of a court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by Reference (d), Manual for Courts-Martial (MCM), 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels' advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, or use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. In commenting on such performance, however, 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 fully duty (NFFD) status is prohibited.
6. Mention pregnancy. Restriction applies to reported-on officer and family members.
7. Expressly evaluate, compare, or emphasize gender, religion, color, race, 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.F.3. 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.

J. Required Comments.

1. The rating chain must support any mark of 1, 2, 3, and 7. Comments with 4, 5, or 6 do not require support.
2. Actions resulting in a drug or alcohol incident (DI/AI) must be documented in the OER. Commanding officers must also follow policy and standards with accordance with the Coast Guard Drug and Alcohol Abuse Program, COMDTINST M1000.10 (series).
3. Failure to comply with body fat standards must be documented in the OER. Commanding officers must also follow policy and standards in accordance with the Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series).

K. Replies to OERs. 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.

1. 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 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.
2. Corrections. Reported-on officer replies do not constitute a request to correct a record. An officer who believes their OER contains a major administrative or substantive error should follow the procedures to correct military records as outlined in Article 5.N. of this Manual. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review of a reported-on officer's reply, concur with the reported-on officer that an error may be present in the OER, must return the reply to the reported-on officer and assist that officer in following the procedures of Article 5.N. of this Manual.

L. IDPL schedule specific OERs. This Article determines when IDPL scheduled officers will follow the ADPL schedule.

1. IDPL scheduled officers on active duty, including multiple sets of active duty orders, for 181 consecutive days or greater must follow the ADPL submission schedule and be treated as an ADPL schedule officer for as long as they remain on active duty. If Article 5.L.1. applies, no other Article in 5.L may apply.
2. IDPL schedule officers performing active duty of any length at their permanent unit must have the performance documented in their regular OER and not a concurrent OER.

3. IDPL schedule officers performing active duty for 30 days or less at a unit other than their permanent unit may have the performance documented in a concurrent OER or in their regular OER.
4. IDPL schedule officers performing active duty for over 30 day but less than 180 days at a unit other than their permanent unit must have the performance documented in a concurrent OER.
5. Officers in the IRR and ASL who are authorized to drill for points must have the performance documented in a Regular OER according to the IDPL submission schedule. Officers in the IRR and ASL who do not have drill for points authorization must receive a Continuity OER according to the IDPL submission schedule.
6. Officers in the IRR and ASL performing active duty for 180 days or less must have the performance documented in a Concurrent OER according to the IDPL submission schedule.

M. Retired Officers Recalled to Active Duty.

1. Background. Because the personnel management goals (promotion, assignment, career development) of the OES don't apply to officers who are recalled to active duty from retired status, there is no mandatory requirement to submit an OER for these officers.
2. When Significant Information Exists. Where any member of the rating chain, including the reported-on officer, has information deemed significant enough to report for the retired recall period, any OER may be submitted, including a non-regular derogatory OER. Such information may be useful for future retired recall decisions regarding the officer.
3. Implications in the Event a Retired Recall Promotion Board is Convened. If service need requires that a retired recall promotion board be convened, eligible officers who declined to submit an optional OER for a previous retired recall period are not permitted to resurrect that exercised option to retroactively submit OERs for consideration by the board.

N. Correction of OERs and Military Records.

1. Quality of Comments. Comments in the OER must be sufficiently specific to present a complete picture of the reported-on officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned. On those marks indicated by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) as not being supported, the rating chain must either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided.

2. Comments.

- a. Marks and comments may be changed only by the original supervisor and reporting officer.
- b. All changes to the original OER must be initialed.
- c. The signature dates must be adjusted to reflect the date that the necessary changes and reviews were actually made. Reported-on officers must be afforded an opportunity to review and sign the updated OER.

3. Correction of Military Records. Coast Guard officers are encouraged to review their record periodically. While Commander (CG PSC) attempts to ensure that OERs accurately reflect officers' performance, the possibility of administrative or substantive error still exists. Accordingly, officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error.

- a. Those officers wishing to exercise this right should follow the procedures to correct military records contained in Correcting Military Records, COMDTINST 1070.1 (series) for forwarding the application to the Personnel Records Review Board (PRRB) or Board for Correction of Military Records (BCMR), as appropriate.
- b. The application may be forwarded through the original rating chain at the officer's option. If the whereabouts of the original members of the rating chain are unknown, officers should submit the application directly to the PRRB or BCMR. Additionally, an officer may forward their application via the officer's current chain of command but is not required to do so and may send the application directly to the PRRB or BCMR.

O. Definitions. The following definitions apply only to this Chapter.

1. ADPL schedule. All officers are considered Active Duty Promotion List (ADPL) schedule unless explicitly Inactive Duty Promotion List (IDPL) schedule. ADPL schedule includes all Regular officers, Reserve officers on extended active duty (EAD), and Reserve Program Administrators (RPA).
2. Officer Evaluation System (OES). The Coast Guard system that addresses performance appraisal of its officers.
3. Officer Evaluation Report (OER). A report for a specific Coast Guard officer used to document performance and potential.
4. Rating Chain. The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER as defined by the following roles:

- a. **Reported-on Officer.** The subject of the OES. All commissioned officers of the Coast Guard are evaluated periodically.
 - b. **Supervisor.** Normally, the individual to who the reported-on officer reports to on a daily or frequent basis and from who the reported-on officer receives the majority of direction and requirements.
 - c. **Reporting Officer.** Normally the supervisor's supervisor.
 - d. **Reviewer.** Normally the reporting officer's supervisor.
5. **Regular OER.** A regular OER is a report that qualifies for continuous chronological coverage of the reported-on officer's commissioned service.
 6. **IDPL schedule.** IDPL officers not on active duty to the extent required to follow the ADPL schedule. IDPL officers, per Reserve Policy Manual, COMDTINST M10001.28 (series) is made up of the Selected Reserve (SELRES), Individual Ready Reserve (IRR), and Active Status List (ASL).
 7. **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.
 8. **Disqualified.** Includes relief for cause due to misconduct or unsatisfactory performance, being an interested party to an investigation or court of inquiry, or any other situation in which a personal interest or conflict on the part of the supervisor, reporting officer, or reviewer raises a substantial question as to whether the reported-on officer will receive a fair, accurate evaluation.
 9. **Non-regular OER.** A non-regular OER is a report that does not qualify for continuous chronological coverage of the reported-on officer's commissioned service.

THIS PAGE INTENTIONALLY BLANK