



Enlistments, Evaluations, and Advancements



COMDTINST M1000.2B
February 2018

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COMMANDANT INSTRUCTION M1000.2B

Subj: ENLISTMENTS, EVALUATIONS, AND ADVANCEMENTS

- Ref:
- (a) Coast Guard Recruiting Manual, COMDTINST M1100.2 (series)
 - (b) Coast Guard Medical Manual, COMDTINST M6000.1 (series)
 - (c) Military Separations, COMDTINST M1000.4 (series)
 - (d) Personnel Security and Suitability Program, COMDTINST M5520.12 (series)
 - (e) Reserve Policy Manual, COMDTINST M1001.28 (series)
 - (f) Military Bonus Programs, COMDTINST M7220.2 (series)
 - (g) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)
 - (h) Personnel and Pay Procedures Manual, PPCINST M1000.2 (series)
 - (i) Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series)
 - (j) Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)
 - (k) Performance, Training, and Education Manual, COMDTINST M1500.10 (series)
 - (l) Diving Program Manual, COMDTINST M3150.1 (series)
 - (m) Coast Guard Pay Manual, COMDTINST M7220.29 (series)
 - (n) Military Justice Manual, COMDTINST M5810.1 (series)
 - (o) Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 (series)
 - (p) Uniform Regulations, COMDTINST M1020.6 (series)
 - (q) Administrative Investigations Manual, COMDTINST M5830.1 (series)
 - (r) Discipline and Conduct, COMDTINST M1600.2 (series)

1. PURPOSE. This Manual establishes Coast Guard policy and procedures concerning the enlistments, evaluations, and advancement for enlisted personnel.

DISTRIBUTION – SDL No. 168

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NON-STANDARD DISTRIBUTION:

2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements must comply with the provisions of this Manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. Enlisted Accessions, Evaluations, and Advancements, COMDTINST M1000.2A, is hereby cancelled.
4. DISCUSSION. Citation of the word ‘article’ as used in this Manual is in general terms of reference, e.g., to denote paragraph or section, and is not citing CFR, USC, UCMJ, etc except where so noted.
5. 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 nor does it impose legally-binding requirements on any party outside the Coast Guard.
6. MAJOR CHANGES. The new name of the Manual is the Enlistments, Evaluations, and Advancements, COMDTINST M1000.2B. Changes to Enlisted Advancements are covered in Chapter 3. The new Enlisted Evaluation System policy is incorporated into Chapter 4.
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
 - a. The development of this Manual and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Manual is categorically excluded under current Department of Homeland Security (DHS) categorical exclusion (CATEX) A3 from further environmental analysis in accordance with "Implementation of the National Environmental Policy Act (NEPA), DHS Instruction Manual 023-01-001-01 (series).
 - b. This Manual 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 policy in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Department of Homeland Security (DHS) and Coast Guard NEPA policy, and compliance with all other applicable environmental mandates.
8. DISTRIBUTION. No paper distribution will be made of this Manual. An electronic version will be located on the following Commandant (CG-612) web sites. Internet:
<http://www.dcms.uscg.mil/directives> and CGPortal:
<https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>

9. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been evaluated for potential records management impacts. The development of this Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.

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.dcms.uscg.mil/Our-Organization/Assistant-Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG-61/Forms-Management/>

11. REQUESTS FOR CHANGES. Units and individuals may recommend changes via their chain of command using the Coast Guard memorandum to: HQS-PolicyandStandards@uscg.mil.

A. S. MCKINLEY /s/
Rear Admiral, U.S. Coast Guard Reserve
Director of Reserve and Military Personnel

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Chapter 1 ACTIVE DUTY AND RESERVE ENLISTED MEMBERS

A. Definition of Reenlistment.

1. Reserve.
 - a. The enlistment of any person who has previously served in the Coast Guard Reserve will be considered a reenlistment.
 - b. The enlistment of any person into the Coast Guard Reserve who has not previously served in the Coast Guard Reserve will be considered an original enlistment, even though they may have previous service in the active Coast Guard. This includes those members who are discharged from the active duty Coast Guard and enlist within 24 hours in the Coast Guard Reserve.
2. Active Duty.
 - a. The enlistment of any person who previously served in the active duty Coast Guard will be considered a reenlistment.
 - b. The enlistment of Coast Guard Reserve members who are serving on extended active duty and who have served on extended active duty of 12 months or more will be considered a reenlistment.

B. Periods of Enlistment and Reenlistment. The following Articles define the terms of enlistment and reenlistment for active duty and reserve members.

1. Active Duty Reenlistment. Reenlistments must be for periods of three, four, five, or six years.
2. Discharge from Active Duty Coast Guard. The immediate enlistment in the Coast Guard Reserve of a member who is being discharged from the active duty Coast Guard will be for two, three, four, five, six, or eight years. If enlisted more than 24 hours after discharge, the provisions of Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), apply.
3. Reserve Reenlistment. The reenlistment of a Coast Guard Selected Reserve (SELRES) member, or an Individual Ready Reserve (IRR) member on active duty orders or approved to drill for points within 24 hours following the day of discharge, at the unit or district to which last assigned, will be for periods of two, three, four, five, six, or eight years at the option of the member concerned.

C. Rate Authorization on Enlistment and Reenlistment.

1. Active Duty Reenlistment on Day Following Discharge. Members reenlisting on the day following their discharge will be reenlisted in the rate held on the date of discharge.
2. Active Duty Reenlistment Not on Day after Discharge. Reenlistments in the Coast Guard later than 24 hours after discharge must be processed at a Coast Guard recruiting office. Members reenlisting within three months of their discharge date will be reenlisted in the rate held on the date of discharge. Members reenlisting more than three months after their discharge date will be reenlisted in accordance with Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series) or if applicable, other governing policies (e.g., Temporary Separation Policy, Open Rate List).
3. Reserve Enlistment. Enlistment in the Coast Guard Reserve within 24 hours after discharge from active duty, at the same unit, will be in the same rate previously held in the active duty Coast Guard, providing the member meets the eligibility requirements of Article 1.E. of this Manual. Enlistments in the Coast Guard Reserve later than 24 hours after discharge must be processed at a Coast Guard recruiting office. Members enlisting more than three months after discharge from active duty will be enlisted in accordance with Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series) or if applicable, other governing policies (e.g., Temporary Separation Policy, Open Rate List).
4. Reserve Reenlistment. Coast Guard SELRES members, or Individual Ready Reserve (IRR) members on active duty orders or approved for drill points, reenlisting within 24 hours at the same unit or district from which discharged reenlist in the rate held on the date of discharge. Coast Guard reservists reenlisting after 24 hours following discharge must be processed at a Coast Guard recruiting office. Reservists reenlisting more than three months after their discharge date will be reenlisted in accordance with Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series) or if applicable, other governing policies (e.g., Temporary Separation Policy, Open Rate List).

D. Physical Examination for Enlistment and Reenlistment.

1. Active Duty Reenlistment Within 24 Hours. For an active duty reenlistment within 24 hours after discharge, a physical examination is not required prior to reenlistment.
2. Transition to Reserve Within 24 Hours After Discharge or RELAD. An Active Duty member who transitions to the Coast Guard Reserve component within 24 hours after discharge or release from the Active Component is required to have a completed PHA and Report of Medical Assessment Form DD-2697, in accordance with Reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series). Should there be a change in the member's medical condition that impacts their ability to perform their

duties in the Reserve Component, medical through the command must notify Commander (CG PSC-EPM) or (CG PSC-RPM) and Coast Guard Recruiting Command. The member must be retained in the Active Component until member meets retention standards or is processed for retirement or separation.

3. Reenlistment After 24 Hours. For any reenlistment not occurring within 24 hours of discharge, a physical examination is required in accordance with Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), and members must be processed through a Coast Guard recruiting office. The physical examination must state that member meets accession standards in accordance Reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).

E. Eligibility for Reenlistment and/or Extension. The Coast Guard offers reenlistments and/or extensions only to those members who consistently demonstrate the capability and willingness to maintain high professional standards, moral character, and an adherence to the Coast Guard's core values. To be eligible for reenlistment, or extension of enlistment, a member must receive a positive recommendation from their commanding officer in accordance with Article 1.E.1. of this Manual, and meet the eligibility criteria listed in Article 1.E.2. of this Manual. In addition, SELRES members and IRR members on active duty or approved to drill for points, must also meet the eligibility criteria listed in 1.E.3. of this Manual. Members who have eight or more years of total active duty and/or reserve military service that meet the eligibility criteria, but are not recommended for reenlistment by their commanding officer, are entitled to a reenlistment board, as outlined in Reference (c), Military Separations, COMDTINST M1000.4 (series). However, members who do not meet the eligibility criteria are not entitled to a reenlistment board, even if they have eight or more years of total active and/or reserve military service. The procedures in Article 1.E.4. of this Manual must be followed for members who do not meet the eligibility criteria.

1. Commanding Officer Recommendation.

- a. Each active duty, SELRES, and IRR member on active duty or approved to drill for points must be recommended by the officer effecting discharge to reenlist or extend. In making such recommendation, the officer effecting discharge should consider the member's overall performance, potential for continued service, and conduct during the current period of enlistment. If a member has received an unsatisfactory conduct mark, court-martial conviction(s), or NJP punishment(s), the officer effecting discharge should also consider how the severity and nature of the offense(s) impact the member's overall record of service during the current period of enlistment.
- b. Active Status List (ASL) and IRR members not on active duty orders and not approved to drill for points, as well as Inactive Status List (ISL) members, will not be

authorized to re-enlist or extend unless there is a service need as approved by Commander (CG PSC-RPM).

2. Eligibility Criteria. Each member must meet the basic eligibility requirements listed below during their current period of enlistment/reenlistment, including any extensions, unless an appeal is approved by Commander (CG PSC-EPM) or (CG PSC-RPM):
 - a. Have a minimum factor average equal to or above 3.5 in each factor. See Reference (c), Military Separations, COMDTINST M1000.4 (series) for direction in determining the final factor average.
 - b. Be physically qualified in accordance with Article 1.D. of this Manual.
 - c. If an alien at the time of original enlistment, must be a naturalized citizen prior to reenlistment or extension of enlistment/reenlistment.
 - (1) This does not apply to members who enlisted from the following: Republic of the Philippines if they enlisted prior to 18 September 2008 (Reference (c), Military Separations, COMDTINST M1000.4 (series)); Republic of the Marshall Islands (RMI); The Federated States of Micronesia (FSM); or Palau.
 - (2) Non U.S. citizens are ineligible for a security clearance and cannot serve in or pursue a rating requiring a security clearance per Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series).
 - d. Have no more than one unsatisfactory conduct mark during the current period of enlistment. However, if a member receives any unsatisfactory conduct mark during their current period of enlistment for any of the following reasons, that one unsatisfactory conduct mark will render the member ineligible for reenlistment/extension:
 - (1) A documented offense for operating a vehicle, or any other mode of transportation, under the influence of alcohol or controlled substances during the current period of enlistment.
 - (2) A documented offense as a perpetrator of sexual assault during the current period of enlistment.
 - e. Have no documented offense for which the maximum penalty for the offense, or closely related offense under the UCMJ and Manual for Courts-Martial, includes a punitive discharge during the current period of enlistment. Use the following guidance to assist.
 - (1) This criteria is aimed at serious offenses, analogous to those warranting the "Commission of a Serious Offense" basis for discharge identified in Reference

(c), Military Separations, COMDTINST M1000.4 (series). Commission of a serious offense does not require adjudication by non-judicial or judicial proceedings. In some circumstances, military justice action is precluded due to state or federal court proceedings, but a commanding officer may remain convinced that credible evidence establishes, by a preponderance of the evidence, that the member has committed a serious offense. In these circumstances, if warranted by the particular facts of the case, Commander (CG PSC-EPM) or (CG PSC-RPM), may determine that a serious offense has been committed, even without a judicial adjudication, and deny the member the opportunity to reenlist.

- (2) An acquittal or finding of not guilty at a judicial proceeding or not holding non-judicial punishment proceeding does not prohibit proceedings under this provision. However, the offense must be established by a preponderance of the evidence. Police reports, Coast Guard Investigative Service reports of investigation, etc., may be used to make the determination that a member committed a serious offense.
- f. Have no special or general courts-martial conviction(s) during the current period of enlistment.
- g. Have no conviction(s) by a civil court (or other civilian judicially imposed decision amounting to a conviction such as, but not limited to: adjudication withheld; deferred prosecution; entry in a pretrial intervention programs; or any similar disposition of charges which includes imposition of fines, probation, community service, etc.) for any civilian offense, that could warrant a punitive discharge if prosecuted under the UCMJ and Manual for Courts-Martial, during the current period of enlistment.
- h. Have not had their most recent Government Travel Charge Card (GTCC) closed for misuse or delinquency during the current period of enlistment.
- (1) Members who have had an account closed for delinquency or misuse who meet the criteria for reinstatement in accordance with Government Travel Charge Card (GTCC) Program Policies and Procedures, COMDTINST M4600.18 (series) can submit a reinstatement request in advance of reenlistment.
- (2) Members who have had an account closed for reasons other than misuse or delinquency (such as never having an account, determination the account was no longer needed, failing to activate the card, or failing to complete required training) are eligible for reenlistment.
- i. Have no more than three weight probationary periods during the current period of enlistment. If a member reenlists while on weight probation that probationary period must be recorded as the first probationary period of the new period of enlistment.

3. Additional Requirements for Reserve Members.

- a. Be in compliance with the satisfactory participation standards in accordance with Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series), during the current period of enlistment.
- b. An active duty member who desires to enlist, or a SELRES member, or IRR member on active duty or approved for drill for points only, desiring to reenlist or extend, in the Coast Guard Reserve must not have over 14 years total service and not more than ten years of active duty unless enlisted, reenlisted, or extended within 24 hours at the same unit from which discharged. Such a member not enlisting, reenlisting, or extending within 24 hours may be considered for a waiver in accordance with Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), and must be processed through a Coast Guard recruiting office.
- c. Coast Guard Reserve members serving on extended active duty are required to submit a memorandum to Commander (CG PSC-EPM), via the chain of command, to request reenlistment. Commander (CG PSC-EPM) approval is required prior to reenlistment.

4. Members Not Eligible for Reenlistment.

- a. Members who desire to continue serving and do not meet the eligibility criteria, but are recommended for reenlistment/extension by their commanding officer, may submit an appeal via memorandum, to Commander (CG PSC-EPM) or (CG PSC-RPM), via the chain of command for consideration. In addition, members who do not desire to continue serving and are either ineligible to reenlist/extend and/or not recommended by their commanding officer must be processed by Commander (CG PSC-EPM) or (CG PSC-RPM). Commands must submit a copy of the Career Intentions Worksheet along with a copy of the appropriate predischarge interview form (CG-3307) to the appropriate authority, noted in this Paragraph, to separate the member at their end of enlistment.
- b. Commands must also submit a memorandum to Commander (CG PSC-EPM) or (CG PSC-RPM) to discharge members who do not meet the eligibility criteria and are not recommended for reenlistment/extension by their commanding officer. The memorandum (with enclosures as required) must contain sufficient facts to establish, by a preponderance of the evidence, that the member does not meet the eligibility criteria. The member must be afforded the opportunity to submit a written statement for consideration by Commander (CG PSC-EPM-1) or Commander (CG PSC-RPM-1).
- c. Members who are discharged from the active or reserve component because they do not meet the eligibility criteria will be issued an RE-3 or RE-4 reentry code.

5. Indefinite Reenlistments.

- a. General. Indefinite reenlistment contracts were authorized in 2001 for enlisted members with over ten years of active duty service. Once an indefinite reenlistment contract was affected, the member was authorized to serve on active duty up to the last day of the month in which they completed 30 years of active service. As of 1 December 2011, enlisted members are no longer authorized to enter into an indefinite reenlistment contract.
- b. Members Grandfathered on an Indefinite Reenlistment Contract. Members who entered into an indefinite reenlistment contract prior to 1 December 2011 are considered “grandfathered” and will remain on that indefinite reenlistment contract provided they remain eligible for active service. The following guidance applies:
 - (1) Upon Completion of 30 Years Active Service. A member serving on an indefinite reenlistment is authorized to serve up to the last day of the month they complete 30 years of active service. E-9s who are assigned to gold badge Command Master Chief (CMC) or Rating Force Master Chief (RFMC) billets may extend beyond 30 years of active service in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series).
 - (2) Upon Request for Voluntary Separation. A member serving on an indefinite reenlistment contract may request voluntary separation in accordance with Reference (a), Military Separations, COMDTINST M1000.4 (series), provided they have met all service obligations incurred for advancement, permanent change of station orders, and advanced or specialized training. Members requesting separation must do so by letter, via the chain of command, to Commander (CG PSC-EPM) no less than six months prior to the requested separation date.
 - (3) Upon Request for Retirement. A member serving on an indefinite reenlistment who is retirement eligible may request voluntary retirement in accordance with Reference (a), Military Separations, COMDTINST M1000.4 (series).

6. Continuous Service.

- a. Active Duty Reenlistments. For active duty reenlistments, a member must reenlist within three months from their discharge date to remain in a continuous service status and to receive the benefits listed below:
 - (1) Selective Reenlistment Bonus. To receive a selective reenlistment bonus (SRB), a member must reenlist within three months from date of discharge and meet the eligibility requirements contained in Reference (f), Military Bonus Programs, COMDTINST M7220.2 (series).

- (2) Time in Pay Grade in Present Rating (TIR) for Advancement. To receive credit for time previously served in the present grade, a member must reenlist within three months from date of discharge and meet the requirements contained in Article 3.A.15. of this Manual.
 - b. Other Benefits. Other benefits that Congress may enact from time-to-time will be announced if implemented by the Coast Guard.
 - c. Reservists' Continuous Service Status. A SELRES member or IRR member on active duty orders or approved to drill for points must enlist or reenlist on the day following the effective date of their discharge to remain in a continuous service status.
7. Enlisted Members Serving as Officers. An enlisted member holding a temporary appointment as a commissioned officer will not be discharged at the expiration of enlistment, which is postponed for the period the member continues to hold the temporary appointment.
8. Authority to Effect Reenlistment.
- a. Authority to Administer Oaths. Upon meeting the eligibility requirements to reenlist found in Articles 1.E. of this Manual, the following members are authorized to administer oaths for active duty reenlistments subject to the provisions of the United States Coast Guard Regulations, 1992, COMDTINST M5000.3 (series):
 - (1) Any commissioned or chief warrant officer of any component (including Reserve or retired) of any of the Armed Forces of the United States, or
 - (2) Any chief petty officer or first class petty officer who is the recruiter in charge of a recruiting office and is authorized by the Coast Guard Recruiting Command, or
 - (3) The Master Chief Petty Officer of the Coast Guard or any Commandant-designated or MCPOCG-designated Command Master Chief (CMC), or
 - (4) Permanently assigned officer in charge of a unit.
 - b. Within 24 Hours. A member reenlisting within 24 hours after discharge may be reenlisted at the unit to which last regularly assigned. All other reenlistments will be processed through a Coast Guard recruiting office.
 - c. Effect Enlistment or Reenlistment in the Reserve
 - (1) Providing a member is in all respects eligible in accordance with this Chapter and has no obligation under 10 USC § 651, units are authorized to:

- (a) Voluntarily enlist members into the Coast Guard Reserve immediately following discharge (within 24 hours) from the active duty Coast Guard, and
 - (b) Reenlist Coast Guard SELRES members or IRR members on active duty orders or approved to drill for points assigned to their command.
- (2) The authority to effect enlistment or reenlistment in the Coast Guard SELRES or IRR is as follows:
- (a) Any commissioned or chief warrant officer of any component (including Reserve or retired) of any of the Armed Forces of the United States, or
 - (b) Any chief petty officer or first class petty officer who is the recruiter in charge of a recruiting office and is authorized by the Recruiting Command, or
 - (c) The Master Chief Petty Officer of the Coast Guard or any Commandant-designated or MCPOCG-designated Command Master Chief (CMC), or
 - (d) Permanently assigned officer in charge of a unit.
- d. SELRES Member or IRR Member on Active Duty Orders. SELRES members, or IRR members on active duty orders or approved to drill for points, desiring to reenlist within 24 hours of the effective date of discharge from their reserve unit will have the enlistment oath administered at that unit, as provided for in Reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series). The necessary forms required will be prepared and forwarded by the servicing SPO to the reservist in ample time to allow them to be executed within 24 hours after the expiration of enlistment.
- e. Reenlistment Prior to Expiration of Enlistment. If a member has no obligation remaining under 10 USC § 651, it may be more expedient to effect a reenlistment prior to the expiration of the member's enlistment. Authority is granted to discharge and reenlist a SELRES member or IRR member on active duty orders or approved for drill for points, not earlier than three months before the expiration of their enlistment and not later than the day following the date of expiration of enlistment. Members so reenlisted will be classified "RQ."
- f. Reenlisting Within Specified Time Frame. Refer to Article 1.E.8.c. of this Manual for guidance on timeframes for reenlisting or extending an enlistment.
- g. Reserve Enlisted Members Who Complete 20 Years Satisfactory Service. Commanding Officer, Pay and Personnel Center, will set the expiration of enlistment date for enlisted reservists completing 20 years satisfactory service and who have requested "retired without pay, awaiting age 60 (RET-2)."

- (1) The end of enlistment date for reservists completing 20 years of satisfactory service remaining in the Coast Guard Reserve is the end date of their current enlistment contract.
 - (2) The end of enlistment date will be changed when a member re-enlists or requests transfer to RET-2 status.
 - (3) Any reservist who, upon completing 20 years satisfactory service, fails to reenlist or request RET-2 status upon the expiration of enlistment will be automatically transferred to RET-2 status after notification procedures have been completed in accordance with current policy.
9. Authority to Refuse Reenlistment. For both active duty and reserve members, the enlisting officer may refuse to reenlist a member when they have become cognizant of any valid objection to the member's reenlistment by reason of circumstances not known at the time of discharge, or which have arisen since discharge. In each such case, a full report thereof will be made to Commander (CG PSC-EPM) or Commander (CG PSC-RPM) for final decision.
10. Forms to Send to Commander, Coast Guard Personnel Service Center.
- a. Reenlistment Within 24 Hours. When a member reenlists in the active duty Coast Guard within 24 hours after discharge at the same unit from which discharged, the following forms will be forwarded to Commander (CG PSC-BOPS-C-MR):
 - (1) Enlistment/Reenlistment Document, DD Form 4/1, and
 - (2) BAH Dependency Data Report, Designation of Beneficiaries & Record of Emergency Data, Form CG-2020D, SGLI Election and Certificate, Form SGLV-8286, and (if the member has a spouse) SGLI Family Coverage Election, Form SGLV-8286A.
 - b. Enlistment in the Coast Guard Reserve. When a member enlists in the Coast Guard Reserve within 24 hours after separation from the active duty Coast Guard at the same unit from which discharged, the following forms will be forwarded to Commander (CG PSC-BOPS-C-MR):
 - (1) Enlistment/Reenlist Document, DD Form 4/1,
 - (2) BAH Dependency Data Report, Designation of Beneficiaries & Record of Emergency Data, Form CG-2020D, SGLI Election and Certificate, Form SGLV-8286, and (if the member has a spouse) SGLI Family Coverage Election, Form SGLV-8286A, and

- (3) The appropriate Administrative Remarks, Form CG-3307, for the respective reserve component category in accordance with Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
 - c. Reservist's Reenlistment within 24 Hours after Discharge. When a selected reserve (SELRES) member, or individual ready reserve (IRR) member on active duty orders or approved for drill for points, reenlists within 24 hours after discharge at the same district or unit from which discharged, the following forms will be forwarded to Commander (CG PSC-BOPS-C-MR):
 - (1) Enlistment/Reenlist Document, DD Form 4/1, and
 - (2) BAH Dependency Data Report, Designation of Beneficiaries & Record of Emergency Data, Form CG-2020D, SGLI Election and Certificate, Form SGLV-8286, and (if the member has a spouse) SGLI Family Coverage Election, Form SGLV-8286A.
 - d. Enlistments and Reenlistments after 24 Hours. All enlistments or reenlistments more than 24 hours after discharge, or within 24 hours at a unit other than the one from which discharged, will be effected at a Coast Guard recruiting office.
11. Service and Health Records.
- a. Personnel Data Records. If accomplished within 24 hours after discharge at the unit from which discharged, a reenlistment is a continuation of the member's status. The working Personnel Data Record (PDR) is continued and will be maintained as prescribed in Reference (g), Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).
 - b. Health Record. Health records will be opened and maintained in accordance with Reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), and Reference (g), Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).
12. Reenlistment Ceremony. Reenlistment is a major event in the career of an enlisted member and as such, each member will be afforded an appropriate, meaningful ceremony to render full recognition of the high quality performance attested to by recommendation for reenlistment. The commanding officer or, in their absence, the executive officer should preside. The following procedures are considered appropriate:
- a. The family, special guests, and shipmates, as desired by the member being honored, should be invited to the ceremony.
 - b. A particular officer to administer the oath may be requested by the member.

- c. A photographic record of the ceremony should be made and presented to the member. Press releases should be made to the appropriate media.
- d. After the ceremony, a brief social gathering with simple refreshments for the member(s) being honored and their guests is recommended.
- e. Transportation within the confines of the military installation should be provided for guests if required.
- f. Personalize the occasion with other recognition, as appropriate.
- g. Grant special liberty and/or leave as soon as possible following the reenlistment.
- h. The member's desires regarding the ceremony should be considered.

F. Extensions of Active Duty and Reserve Enlisted Members.

1. Periods of Extensions of Enlistment.

- a. Extension of Term of Enlistment. By voluntary written agreement subject to the commanding officer's approval, members may extend or reextend their term of enlistment for the following purpose:
 - (1) Obligated Service. For any number of full years, not less than one nor, more than six years at end of enlistment and/or full months up to six years to ensure sufficient obligated service for these purposes.
 - (a) Attend a resident school per Article 1.F.2. of this Manual,
 - (b) INCONUS and OUTCONUS assignments per Article 1.F.2. of this Manual,
 - (c) Advance to E-7, E-8, or E-9 per Article 3.A.20.d. of this Manual,
 - (d) Meet an approved retirement date per Reference (c), Military Separations, COMDTINST M1000.4 (series), or
 - (e) Meet the active duty service commitment (ADSC) to qualify for a critical skills training bonus per Reference (f), Military Bonus Programs, COMDTINST M7220.2 (series).
 - (f) Meet the active duty service commitment to qualify for transfer of benefits under the Post 9/11 G.I. Bill program per Post 9/11 G.I. Bill, DoDI 1341.13.
 - (2) Deployment. For any number of full months less than one year in order to complete a deployment on a vessel scheduled to be absent on the member's

normal date of expiration of enlistment per Article 1.B.11.d. of Reference (c), Military Separations, COMDTINST M1000.4 (series).

- (3) Commander (CG PSC) Approval. For any number of full months up to one year or other such period as Commander (CG PSC-EPM) or (CG PSC-RPM) may authorize in specific cases.

Note: Before allowing a member to enter into an agreement to extend a term of enlistment as provided herein, the member will be fully advised of the effects that such an extension could have on computing or paying a selective reenlistment bonus per Reference (f), Military Bonus Programs, COMDTINST M7220.2 (series).

- b. Total of Extensions. The total of all extensions of an enlistment may not exceed six years.
- c. Eligibility to Extend. To be eligible to extend an enlistment for any amount of time, members must meet the same eligibility criteria required for reenlistment described in Article 1.E. of this Manual. If a member does not meet the criteria but the commanding officer feels a short extension is warranted, an extension may be requested from Commander (CG PSC-EPM) or (CG PSC-RPM).
- d. Reserve Enlistment Term. A Coast Guard Reserve enlisted member serving on extended active duty (EAD) may, by voluntary written agreement and with approval by their commanding officer, extend or re-extend their enlistment term in accordance with Article 1.F.1.a. of this Manual provided they meet the eligibility criteria required for reenlistment described in Article 1.E. of this Manual.
- e. War or National Emergency. Under 10 U.S.C. § 12103, when a war or national emergency declared by Congress begins, the Commandant involuntarily extends all reserve enlistments in effect, which otherwise would expire, until six months after the war or national emergency ends, whichever is later, unless sooner terminated by the Commandant.
- f. Officer Candidate. The enlistment of a member designated as an officer candidate will be involuntarily extended by such period as the member may remain in such status beyond the normal expiration thereof.
- g. SELRES Member for Montgomery G. I. Bill – Selected Reserve. The enlistment term of a Coast Guard SELRES member not serving on extended active duty may, with their voluntary written agreement approved by the district commander (a), be extended for a period of 60 days, six months, one, two, three, or four years, or longer if necessary to ensure a six-year Selected Reserve affiliation required by the Montgomery G. I. Bill- Selected Reserve (Montgomery G.I. Bill-SR) (Chapter 1606

- of 10 U.S.C.). Only one extension of 60 days or one extension of six months may be granted during any one enlistment period. The total of all extensions to any single enlistment may not exceed four years, except for the sole purpose of meeting the affiliation requirement for the Montgomery G.I. Bill-SR. Execute extensions before the enlistment expires. However, if during such an extension the reservist desires to reenlist, the District Commander (da) may authorize discharge and immediate reenlistment for any term of years listed in Article 1.B. of this Manual.
- h. Extension of Enlistment for a Reservist. When a SELRES member, or IRR member on active duty orders or approved for drills, has indicated they intend to reenlist but is not able to report for reenlistment on the day following the normal expiration date of their enlistment, the District Commander (da) is authorized to extend their enlistment with their consent, for a period not to exceed 60 days, to permit reenlistment the day following discharge.
- 2. Extension to Attend School or for Assignment to Duty Outside the United States.
 - a. Obligated Service. An enlisted member who does not have sufficient obligated service remaining in their enlistment period who applies for transfer to a Service school or duty outside the United States continental limits, including Alaska, will signify in the application for training or duty OCONUS their willingness to execute the required extension. Do not execute the agreement until after the selection for such transfer has been made. In all such cases, the voluntary agreement to extend enlistment must be executed and accepted by the commanding officer before the transfer is affected.
 - b. Application to Reservists. Article 1.F.2.a. of this Manual will apply to enlisted members in the Coast Guard Ready Reserve (SELRES and IRR) on applying for extension of enlistment.
 - 3. Physical Examination for Extensions of Enlistments.
 - a. Extension of Enlistment. A physical examination is not required prior to signing an extension of enlistment. However, the commanding officer or officer in charge will, prior to the extension, review the member's health record and require the member to undergo a physical examination when evidence in the record or personal knowledge indicates a potential health problem. This Article does not eliminate the physical examination requirements set forth in Reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).
 - b. Report of Medical Examination. When physical defects are found to exist, the Report of Medical Examination, SF-88, will be forwarded to Commander (CG PSC-EPM) in duplicate, together with a letter of transmittal setting forth the facts in the case and

- including a copy of the Evaluation Report Summary printed from Direct Access and a copy of the current Enlisted Evaluation Report with all applicable signatures. The duplicate Report of Medical Examination, SF-88 will be returned showing the Commander (CG PSC-EPM) authority to accept or reject the agreement to extend.
- c. Physical Examinations for Reservists. For reservists, Commander (CG PSC-RPM) may waive physical examination upon extension of enlistment in accordance with the provisions of Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
4. Executing Agreement to Extend Enlistment.
 - a. Legal and Binding. To be legal and binding, upon meeting the eligibility requirements in Article 1.E. of this Manual, the member concerned must enter an agreement to extend their enlistment on an Agreement to Extend Enlistment, Form CG-3301B. Agreements on other than this form are informal and unofficial and the member could repudiate or withdraw them at any time. Article 1.E.8.a. of this Manual defines who is authorized to administer oaths.
 - b. Agreement to Extend. A member may not extend their enlistment more than three months before the date the existing enlistment expires. For certain purposes, however, such as assignment to a Service school, duty OCONUS, obligated service to meet the four year requirements for the Post 9/11 G. I. Bill, other duty requiring additional obligated service, or enabling a reservist to meet the six year Selected Reserve affiliation requirement for the Montgomery G.I. Bill-SR (Chapter 1606), an active duty or reserve member may extend their enlistment in advance of their respected time frames. A member may not extend more than three months early for SRB purposes only in accordance with Article 1.F.1. of this Manual. An extension of enlistment must be recorded on the Execute an Agreement to Extend, Form CG-3301B. Do not use the Execute an Agreement to Extend, Form CG-3301B, to record retentions in the Service made in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series), whether voluntary or involuntary. Record such retentions using the appropriate transaction in accordance with Reference (h), Personnel and Pay Procedures Manual, PPCINST M1000.2 (series).
 5. Operative Extension Date. Unless canceled for one of the reasons in Article 1.F.6. of this Manual, an agreement to extend enlistment becomes operative on the date following the normal date the enlistment expires or the enlistment expiration date as voluntarily extended or as extended to make up time not served (see Reference (c), Military Separations, COMDTINST M1000.4 (series)), as appropriate.

6. Canceling an Extension Agreement. A properly executed Agreement to Extend Enlistment, Form CG-3301B, is a valid modification to an enlistment contract and reflects a commitment by both the U. S. Government and the member.
 - a. Canceling an Extension Agreement After an Extension Begins. An extension of enlistment may not be canceled after it begins to run, either for the convenience of the government or the member concerned.
 - b. Canceling an Extension Agreement Before an Extension Begins. An appropriate authority may cancel an agreement to extend enlistment at any time before the extension begins to run if any of these situations applies.
 - (1) Commanding Officer Authority. The commanding officer can cancel an agreement to extend enlistment in the following cases:
 - (a) When the service member is absent over or without leave on the date the original enlistment term expires, unless the commanding officer believes the member absented them self to cancel the agreement to extend.
 - (b) Before closing the PDR on desertion, if it occurs before the date the extension begins to run.
 - (c) When the commanding officer receives orders to discharge the member before the date the extension begins to run.
 - (d) When a member's performance of duty or conduct is unsatisfactory and the commanding officer believes the member is not suitable for retention in the service. Enter the facts in full on a Administrative Remarks, Form CG-3307, entry.
 - (e) On the effective extension date when the member concerned has reenlisted or extended on that date for any authorized enlistment term longer than the original extension agreement.
 - (f) When a member agreed to extend to attend a resident school but is dropped from the course for academic reasons. However, do not cancel extensions to attend resident schools if the member is dropped from the course of instructions or voluntarily withdraws except as noted in Article 1.F.6.b.(2)(b) of this Manual.
 - (g) Extensions of two years or less for a member to receive PCS orders, attend training, or obligate for advancement may be canceled before their operative date for immediate reenlistment or longer extension without any loss of SRB eligibility.

- (2) Commander (CG PSC) Authority. The commanding officer will forward to Commander (CG PSC-EPM) individual requests for cancellation of an agreement to extend enlistment with a full report of the circumstances and their recommendation when:
 - (a) A member requests cancellation because he/she failed to receive the full benefits for which the agreement to extend was executed through no fault of their own.
 - (b) A member voluntarily withdraws from a resident school because of a documented personal hardship beyond their control.
- (3) Reservist on Inactive Duty. For reservists on inactive duty, Commander (CG PSC-RPM) is authorized to cancel agreements to extend enlistments:
 - (a) On the effective of the extension when the member concerned has reenlisted on that date for any authorized period of enlistment but not less than the term of the extension agreement.
 - (b) When he/she receives orders from higher authority to discharge the reservist before the effective extension date.
- (4) Documentation. In all cases of cancellation of an extension agreement for active duty members or a reservist on inactive duty, note the date and reason for cancellation on the original Statement of Understanding for Original Enlistment in the Coast Guard, Form CG-3301A and on an Administrative Remarks, Form CG-3307. Note and distribute in accordance with Reference (g), Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series). Retain a copy showing the cancellation in the PDR.

G. Recall of Enlisted Reserve Members to Extended Active Duty.

1. General. Occasionally, the Coast Guard is unable to fill all active duty positions with members of the active component (AC). In these situations, members of the reserve component may volunteer for extended active duty (EAD) under 10 U.S.C. § 12301 (d) and 10 USC 12311. Reserve members serving on active duty assist the Coast Guard in the performance of its missions while simultaneously receiving the training and experience that will enhance their overall readiness for mobilization, in accordance with Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
2. Eligibility Requirements. All reserve rated personnel will be considered for an EAD contract, however only those in ratings that have shortages in the overall rating structure will normally be accepted. Reserve members will be considered for an EAD contract to fill vacancies provided the following requirements are met.

- a. Rating Match. Positions available for EAD are determined by Commander (CG PSC-EPM) based on the open rate list (ORL), through a determination of hard-to-fill ratings by Commandant (CG-12A) and needs of the service.
 - b. Capable of Performing Duties. Applicants must be capable of performing the duties of the position they are filling, including sea and isolated duty, based on the needs of the Service.
 - c. Length of Contract. Members must serve on EAD for a period of at least two years. Reserve members who initially desire to remain on active duty for a longer period may request to be integrated in accordance with Article 1.G.5. of this Manual.
 - d. Physical Standards. Applicants must meet the physical standards required for serving on active duty in the Coast Guard as stated in References (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), and (i), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series).
 - e. Active Military Service. Applicants who do not have 16 years of total active duty service must apply for a waiver to be eligible for an EAD contract. Total active duty service is the sum of regular active duty, EAD, active duty for training (ADT), initial active duty for training (IADT), active duty for operational support in support (ADOS-AC and ADOS-RC), and reserve recall (mobilization) from all military services.
3. Advancements. While on EAD, reserve members will participate in the reserve servicewide exam (RSWE) competition or their names may be placed on the reserve supplemental advancement eligibility list. The eligibility requirements for participation in the RSWE competition are found in Article 3.A.6. of this Manual.
 4. Extensions of Period of EAD. Enlisted EAD contracts may be up to four years in length.
 - a. A reserve member who completes an EAD contract and does not desire to integrate may request an extension to the EAD contract for up to two additional years.
 - b. Montgomery G.I. Bill Selected Reserve (MGIB-SR). Eligibility for MGIB-SR is contingent on meeting and maintaining good participation standards in the selected reserve. Periods of active duty may impact a member's eligibility for MGIB-SR and result in their termination from the program. Reserve members considering an EAD contract should refer to Montgomery G.I. Bill (MGIB) – Active Duty Education Assistance Program, COMDTINST 1760.9 (series), for additional information.

5. Integration into the Active Component.
 - a. General. Reserve members who have completed a minimum period of 12 months on EAD may request discharge from the Ready Reserve for the purpose of immediate enlistment or reenlistment in the active duty Coast Guard. Members must be compliant with the eligibility requirements of Article 1.E. of this Manual and be within the weight standards prescribed by Reference (i), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series).
 - b. Term of Enlistment/Reenlistment. Enlistment or reenlistment, when authorized, must be within the time periods authorized under Article 1.B.1. of this Manual. Requests for enlistment or reenlistment received from reserve members serving in Reserve specific ratings will not be approved unless the member has completed a change in rating in accordance with Article 3.A.11.d. of this Manual to a rating that is on the active duty personnel allowance list.
 - c. Pay Grade Upon Integration. Reserve members must be enlisted or reenlisted in the same pay grade in which they are serving on EAD.
 - d. Required Counseling. Commanding officers must ensure that reserve members on EAD are counseled relative to the rights and benefits to which enlistment or reenlistment in the active duty Coast Guard entitles them. Members serving in ratings with a selective reenlistment bonus (SRB) multiple must also be advised that entitlement to this bonus accrues only if they have served the requisite minimum period of EAD prior to enlistment or reenlistment per Reference (f), Military Bonus Programs, COMDTINST M7220.2 (series).
 - e. Release from Extended Active Duty (EAD). Prior to release from extended active duty (EAD), the reservist must meet retention standards in accordance with Reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series). If the reservist does not meet retention standards, they must remain on extended active duty (EAD) until retention standards are met or processed for retirement or separation in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series).
 - (1) An active duty member who desires to enlist, or a SELRES member, or IRR member on active duty or approved for drill for points only, desiring to reenlist or extend, in the Coast Guard Reserve must not have over 14 years' total service and not more than ten years of active duty unless enlisted, reenlisted, or extended within 24 hours at the same unit from which discharged. Such a member not enlisting, reenlisting, or extending within 24 hours may be considered for a waiver in accordance with Reference (a), Coast Guard Recruiting Manual,

COMDTINST M1000.2B

COMDTINST M1100.2 (series), and must be processed through a Coast Guard recruiting office.

- (2) Coast Guard Reserve members serving on extended active duty are required to submit a memorandum to Commander (CG PSC-EPM), via the chain of command, to request reenlistment. Commander (CG PSC-EPM) approval is required prior to reenlistment.

Chapter 2 PAY GRADES AND PRECEDENCE

A. Definitions.

1. Groups. A group is a broad classification of occupationally related ratings and rates.
2. Ratings. The term “rating” means the name (such as “Boatswain’s Mate”) prescribed for members of an armed force in an occupational field. (10 USC § 101).

Ratings	Rating Abbreviation
Avionics Electrical Technician	AET
Aviation Maintenance Technician	AMT
Aviation Survival Technician	AST
Boatswain’s Mate	BM
Culinary Specialist	CS
Damage Controlman	DC
Diver	DV
Electrician’s Mate	EM
Electronics Technician	ET
Gunner’s Mate	GM
Health Services Technician	HS
Intelligence Specialist	IS
Information Systems Technician	IT
Investigator	IV
Machinery Technician	MK
Maritime Enforcement Specialist	ME
Marine Science Technician	MST
Musician’s Mate	MU
Operations Specialist	OS
Public Affairs Specialist	PA
Storekeeper	SK
Yeoman	YN

3. Rates. The term rate means the name (such as, Chief Boatswain’s Mate) prescribed for members in the same rating or other category who are in the same pay grade (such as, chief petty officer or seaman apprentice) (10 USC § 101).
4. Pay Grades and Titles. The enlisted pay grades with their general titles and abbreviations are listed below in order of precedence. The specific rating title or rating abbreviation may be substituted for the words “petty officer” or letters “PO” in each case except when using the abbreviation for a pay grade E-7 through E-9 (other than the Master Chief Petty Officer of the Coast Guard), in which case the rating abbreviation will precede the abbreviation for chief petty officer “C,” which will precede the “S” for senior or “M” for master. Examples are: Master Chief Boatswain's Mate (BMCM) and Boatswain's Mate Second Class (BM2).

Pay Grade	General Title	Abbreviation
E-9 (special)	Master Chief Petty Officer of the Coast Guard	MCPOCG
E-9	Master chief petty officer	MCPO
E-8	Senior chief petty officer	SCPO
E-7	Chief petty officer	CPO
E-6	Petty officer, first class	PO-1
E-5	Petty officer, second class	PO-2
E-4	Petty officer, third class	PO-3
E-3	General apprenticeship	SN/FN
E-2	General apprenticeship, apprentice	SA/FA
E-1	General apprenticeship, recruit	SR

5. Precedence. Unless otherwise directed by competent authority, enlisted members will take precedence in accordance with the rules prescribed herein.
 - a. The Master Chief Petty Officer of the Coast Guard will take precedence over all other enlisted members in the Coast Guard.
 - b. Among enlisted members present and regularly assigned to the same activity, or among the enlisted members present in any gathering, the member with the longest period of continuous service in the highest pay grade will take the highest precedence and be considered the senior member, regardless of rating.
 - c. When two or more members are in the same pay grade and have the same amount of continuous service in that pay grade, the member with the longest period of time in the next lower pay grade will take the highest precedence; when the amount of continuous service is the same in the next lower pay grade, apply the criterion that the member who served the longest period of time in each of the successively lower pay grades will take the highest precedence.
 - d. Precedence will not be observed in such a manner as to interfere with the responsibility for, or the performance of, assigned duties or duties of a rating by any member.
 - e. Authority or privilege will not accrue to an enlisted member solely by reason of precedence; except that in an emergency, a prisoner of war situation, or a situation requiring action in the best interest of the Coast Guard, when no commissioned officer able to assume command is present, the enlisted member taking the highest precedence will exercise authority over all enlisted members present.

B. Manner of Addressing Enlisted Members.

1. Correspondence. Enlisted members will be addressed in correspondence as outlined in The Coast Guard Correspondence Manual, COMDTINST M5216.4 (series).

2. Personnel Records. On all PDRs, health, and pay records, etc., rates may be written out or abbreviated, as appropriate. Where applicable, designators are added as follows: SNBM, FNMK.
3. Awards and Certificates. As a general rule, the member's rate will be written out in full on all certificates and awards in accordance with Medals and Awards Manual, COMDTINST M1650.25D (series).
4. Oral Communication. In oral communication, enlisted members will be addressed as follows:
 - a. Formal
 - (1) E-7 through E-9. Chief Petty Officer (last name), with Master or Senior prefixed when appropriate.
 - (2) E-4 through E-6. Petty Officer (last name).
 - (3) E-1 through E-3. Seaman or Fireman (last name), as appropriate.
 - b. Informal
 - (1) E-7 through E-9. Chief (last name), with Master or Senior prefixed when appropriate.
 - (2) E-4 through E-6. Petty Officer (last name).
 - (3) E-1 through E-3. For everyday on-the-job situations, last name only.

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Chapter 3 ENLISTED ADVANCEMENTS

A. Advancements, Reductions, and Changes in Rates and Status.

1. General.

- a. Objective. The objective of the enlisted advancement system is to ensure the required degree of proficiency at the various grade levels within each rating and advance those best qualified to fill vacancies.
- b. Applicability. This Section is applicable to the advancement of:
 - (1) Enlisted Members. All active duty and Reserve enlisted members unless superseded by Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
 - (2) Temporary Commissioned Officers. Temporary commissioned officers on active duty whose permanent status is enlisted except as limited by Article 3.A.22.b. of this Manual.

2. Authority for Advancement from E-1 through E-4. Members may be advanced from E-1 through E-4 in the following manner:

- a. By special authority of Commandant (CG-1).
- b. By their Commanding Officer:
 - (1) For advancement from E-1 to E-2 and E-2 to E-3; and
 - (2) Advancement to pay grade E-4 of Class "A" Course graduates.
- c. Under the provision of Article 3.A.28.a. of this Manual, for qualified prior Coast Guard active duty and reserve members.
- d. By successful completion of a striker program under the provisions of Article 3.C. of this Manual.

Note 1: Class "A" Course graduates who had their advancement to E-4 or E-5 withheld upon graduation due to receiving an "UNSAT" conduct while attending a Class "A" Course, are required to complete six months of good conduct prior to being advanced to E-4 or E-5. A Commanding Officer's approval on a Career Development Worksheet, Form CG-2030, satisfies the recommendation requirement and an unscheduled EER is not required. Commanding Officers are not required to wait for the next semi-annual EER before approving the Career Development Worksheet, Form CG-2030 and advancing the member to E-4 or E-5. The advancement effective date may only be on or after six months following the prior UNSAT conduct date.

Note 2: Completion of the Apprentice Leadership Program (ALP) is required prior to advancement to pay grade E-4. ALP may be completed as a portion of the member’s Class “A” Course.

3. Servicewide Competition.

- a. Servicewide Competition Equity. While it cannot be guaranteed that any one member will be advanced, the servicewide examination (SWE) process ensures a fair and impartial opportunity for advancement and a guarantee that all enlisted members of a particular rating will have an equal advancement opportunity.
- b. SWE Schedule. Except as noted in Article 3.A.3.i. of this Manual, advancement in these pay grades is accomplished through taking a SWE following the schedule listed below which will be followed without regard to anticipated vacancies:

SWE	Applicable Pay Grades
May	E-7 through E-9
May and November	E-5 and E-6
October	Reserve (all pay grades)

- c. SWE Eligibility Date (SED). The SED is the deadline for which members must complete all eligibility requirements listed in Article 3.A.5. of this Manual. It is also used to compute various eligibility factors. The SEDs are:

SWE	SWE Eligibility Dates (SED)
May	1 February of exam year
October	1 July of exam year
November	1 August of exam year

- d. Terminal Eligibility Date (TED).The TED is the date the advancement eligibility list becomes effective. It is also used to compute various eligibility factors. The TEDs are as follows:

SWE	Terminal Eligibility Dates (TED)
May	1 January of the following year
October	1 January of the following year
November	1 July of the following year

- e. Cutoff Points. A cutoff point for advancement is established for each rating and rate based upon vacancies anticipated during a specific period of eligibility. Only those members whose name appears at or above the cutoff are guaranteed advancement if they remain eligible. Members who are below the cutoff point are encouraged to participate in subsequent SWEs in order to maintain eligibility. Members whose name appears at or above the cutoff, must have their name permanently removed from any subsequent advancement eligibility lists.

- f. Advancement Final Multiple. Advancement is based on the member's final multiple which is composed of the below factors for active duty personnel. Reserve members do not receive credit for sea/surf duty.

Factor	Maximum Credit	How Computed
Examination score	80	Examination standard score
Performance factor	50	See Article 3.A.7.b. Compute using spreadsheet on the CG PPC (ADV) website.
Time in service (TIS)	20	Total month TIS - 12. 1 point credit per year or .083 point credit for each full month. Maximum credit is given for 20 years.
Time in pay grade in present rating	10	2 point credit per year or 0.166 point credit for each full month. Maximum credit is given for 5 years.
Medals and awards	10	See Article 3.A.3.f.(2) of this Manual.
Combination of sea/surf duty (active duty members only)	30	Credit given IAW Article 3.A.17. of this Manual.
Total:	200	

- (1) Final Multiple. Pay and Personnel Center (PPC) will publish the elements that are used in computing a member's final multiple twice during the SWE. The first time is on the member's Personnel Data Extract (PDE) which is when the member must take corrective action if it's incorrect. The second time is on the member's profile letter, if the member took the SWE, which shows all points creditable and the final multiple.
- (2) Medals and Awards Points. Awards must be approved by the respective SED listed in Article 3.A.3.c. of this Manual. See Article 3.A.17. of this Manual for award point computations. Award point(s) for SWE multiple are listed below:

Award	Point Credit
Medal of Honor	10
Gold Lifesaving Medal and those military awards	6
Bronze Star Medal	5
Purple Heart Medal	4
Meritorious Service Medal	4
Air Medal	4
Silver Lifesaving Medal	4
Commendation Medal from any U.S. Armed Forces	3
Achievement Medal from any U. S. Armed Forces	2
Combat Action Ribbon	1
Commandant's Letter of Commendation Ribbon	1
CG Good Conduct Medal	1
CG Reserve Good Conduct Medal	1
Company Commander (CC)	1
Officer in Charge (OIC)	1
Port Security Unit (PSU) Reserve Assignment	1

Note 1: Other services' Good Conduct Awards are not creditable for points.

Note 2: Effective 1 January 2010, any member with a date of rank of 1 January 2010 or later will receive final multiple points only for awards earned after the SED of the SWE from which advanced up to the SED of the current SWE.

- g. Additional SWE Points for CCs and OICs. Incentives under this Article will be treated as award points in accordance with Articles 3.A.3.f. and 3.A.17. of this Manual, but are not physical awards. Members may receive points for both awards.
 - (1) BM1s who have successfully passed a District OIC Board and received a BMOA, BMOB, BMOC, or BMOD competency in Direct Access will receive an additional SWE point. Members will not receive multiple additional SWE points for additional OIC competency codes. This point does not apply to BMs competing for grades other than BMC.
 - (2) Members who earn the CC insignia and related honors and awards code (CGCCI) will receive 1 additional SWE point for the current pay grade.

- h. Additional SWE Point for PSU Reserve Assignment. Incentives under this article will be treated as awards points in accordance with Articles 3.A.3.f. and 3.A.17. of this Manual, but are not physical awards. No new device will be created as a result of this policy change.
 - (1) Reservists assigned by Permanent Change of Station (PCS) orders to a PSU will be awarded one point toward the SWE multiple score after the member serves a minimum of one year in the assignment.

- (2) Reservists will only receive one point per tour, no matter the length or number of extensions received. The point must be recorded in Direct Access by July 1 of the qualifying year to meet SWE cutoff dates. If it is projected that one full year of a member's tour is to be complete on or before the next SWE administration, the point may be awarded to be in effect for the upcoming SWE. The point must be awarded prior to the SWE PDE correction deadline as published in the SWE Announcement Message. Previous PSU tours, completed prior to July 1, 2017, are not considered.
 - (3) Any Reservist currently assigned to a PSU, with one or more years of permanently assigned service at that PSU on or before the next SWE administration date is eligible for the award.
 - (4) Reservists augmenting or performing duty, but not permanently assigned to that PSU, or Reservists with prior PSU assignment(s) before July 1, 2017, but not currently assigned to a PSU, are not eligible for the award until accepting a new permanent assignment to a PSU and completing at least one year of service at that PSU before the next SWE administration date.
 - (5) Active Duty members assigned to or augmenting a PSU are not eligible for the award.
- i. Development of Examinations. Examinations are developed by Rating Knowledge Managers at Coast Guard training centers for pay grades E-5 through E-9 in all Coast Guard ratings. Questions are developed from Rating Performance Qualifications Standards (RPQs) for rating specific questions and from Enlisted Performance Qualifications (EPQs) for Enlisted Professional Military Education (EPME) questions.
 - j. Other Methods of Advancement to E-5 Through E-9. Members may be advanced to E-5 through E-9 without participation in SWE competition by special authority of Commandant (CG-1). Members may be advanced to E-5 through E-6 through "Supplemental Advancement Lists" as announced in the ALCGENL or ALCGRSV SWE announcement for those ratings for which the SWE or RSWE has been waived.
4. Responsibilities.
- a. The Member. The member is solely responsible to ensure their eligibility in all respects for the SWE by verifying the accuracy of all Personnel Data Extract (PDE) information. Report any PDE discrepancies to your administrative office or SPO. The member must ensure corrective action was taken by verifying the online PDE reflects a status of "eligible". If the online PDE has not been corrected, contact PPC (ADV) prior to the PDE correction deadline listed in the ALCGENL or ALCGRSV SWE announcement. If, through administrative error, a member is deprived of the opportunity to compete in the scheduled SWE, a substitute examination may be requested from Commanding Officer (CG PPC).

b. Commanding Officers/Officers in Charge. CO/OICs are responsible for the execution of the advancement program. CO/OICs are responsible for the timely evaluation of assigned active duty, SELRES, and IRR members on active duty or approved for drill for points, submitting recommendations, and coordinating with examining boards as necessary to ensure that every eligible and recommended candidate for advancement has an opportunity to compete. The following subparagraphs briefly outline these responsibilities' various elements, which are fully amplified elsewhere in this Chapter and Article 3.B. of this Manual.

(1) Informing Members of Advancement Requirements. Members will be informed of all eligibility requirements for advancement contained within this Manual, Reference (k), Performance, Training, and Education Manual, COMDTINST M1500.10 (series), and all current ALCOASTs and ALCGENL messages.

(2) Training Enlisted Members for Advancement. The continued effectiveness of the enlisted advancement system depends on the on-the-job training and support provided by individual commands. Some training is provided to selected members through Class "A" and/or "C" schools, or other functional courses, but is not intended or desired that formal school training meet the Coast Guard's entire needs in any rating. The importance of on-the-job training cannot be over emphasized.

(3) Advancement Recommendation. The CO/OICs recommendation for advancement is the most important eligibility requirement in the Coast Guard advancement system. Although minimum performance factors have been prescribed to maintain overall consistency for participation in SWE, the CO/OIC will be personally satisfied that the member's overall performance in each factor has been sufficiently strong to earn the recommendation and a mark of ready. Before providing an advancement recommendation, the CO/OIC will review the policy governing the advancement recommendation in Article 4.D.3. of this Manual which also provides guidance on when an advancement recommendation should be withdrawn.

Note: The Commanding Officers' recommendation or change in rating by participation in the SWE is valid only for a specific competition and must be renewed for each succeeding competition. To be valid for the SWE, the recommendation of ready must be on an effective EER dated after the SED of the previous SWE cycle and on or before the SED of the current SWE cycle. The Commanding Officer's recommendation for advancement must be maintained from the recommendation date up to the advancement date. Personnel failing to maintain the CO's recommendation of ready for this period must be invalidated from the Servicewide Exam(s) in which they participated. Personnel who have been invalidated must be recommended as ready and qualify again through a new SWE competition.

- (4) **Mandatory Removal of Recommendation of Ready.** An advancement recommendation of ready must be removed for members who receive an unsatisfactory conduct mark, NJP punishment, a court-martial conviction, or a civil conviction. When applicable, notify Commanding Officer, CG PPC (ADV) to invalidate the recommendation for advancement of the candidate.
 - (5) **Security of Examinations.** The security of the SWEs is the responsibility of each echelon of the command. Article 3.B. of this Manual provides detailed procedures necessary for safeguarding SWEs.
 - (6) **Appointment and Supervision of Local Examining Boards.** Commanding officers will appoint and provide supervision of a servicewide exam Officer(s) (SWE Officer) if the unit has been established as a SWE exam board unit in accordance with Chapter 3.B and other such regulations that may be issued by senior commands. SWE Officers will conduct servicewide exams for the unit and all sub-units which it receives exams for.
 - (7) **Educational Services Officers.** Commanding officers will appoint an educational services officer to provide assistance to each member of the command who desires to qualify for advancement in rate or change in rating and encourage the timely completion of required training and qualifications for advancement.
 - (8) **Effecting Advancements.** Upon notification through the Enlisted Personnel Advancement Announcement (EPAA) from Commander (CG PSC), commanding officers will advance those members listed, or advise Commanding Officer (CG PPC (ADV)) to withhold their advancement or remove them from the eligibility list, with an information copy to Commander (CG PSC-EPM-1) per Article 3.A.21. of this Manual. For those junior members who advance through other methods outside of the SWE process (i.e. advancement to E-3, graduation of class "A" course of instruction at a Service school), COs/OICs must ensure these members are advanced on the earliest date in which the member is both eligible for advancement and recommended for advancement by the CO/OIC. Delays in advancement due to administrative error may be corrected by CG PSC-EPM as per Article 3.A.23.c of this Manual. In accordance with United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series), Officers in Charge (OICs) are not authorized to effect advancements of enlisted personnel.
- c. **Area/Service/Logistics Center/District Commanders.** Area, logistics/service center, district commanders are responsible for monitoring the administrative procedures of subordinate commands to ensure compliance with the requirements contained in this Chapter and Article 3.B. of this Manual. Normal administrative inspections provide a suitable means for accomplishing this.
 - d. **Coast Guard Personnel Service Center (CG PSC).** Under the general direction and supervision of designated superiors, Commander (CG PSC) administers those elements of the

program for enlisted members, including advancement, as outlined in the Coast Guard Organizational Manual, COMDTINST M5400.7 (series).

- e. Coast Guard Pay and Personnel Center (CG PPC). Commanding Officer (CG PPC) is the single point of contact for all SWE inquiries, corrections, and the final authority on waiver requests; and is responsible for the preparation, printing, distribution, accountability, and scoring of the SWE. Following the scoring process, the commanding officer is responsible for preparation and distribution of the advancement eligibility lists as approved by Commander (CG PSC).
- f. Waiver of Eligibility Requirements.
 - (1) Commanding Officer (CG PPC (ADV)) is the single point of contact for all requests for waivers of advancement requirements and deadlines, unless explicitly stated in Article 3.A.5. of this Manual. The SWE cycle process requires all responsible parties to do their part to ensure success. Failure by a member, supervisor or supporting command to fulfill their responsibilities is not justification for a waiver and may result in the member not qualifying to test.
 - (2) Waivers should be requested only if unusual circumstances, last minute operational schedule changes, etc., result in the member being ineligible through no fault of the member. Prior to submitting a waiver, the command must ensure the member, unit and/or SPO did everything that can be reasonably expected to ensure eligibility prior to the deadline for eligibility.
 - (3) Members are ineligible to compete in the SWE for advancement, or be placed on a supplemental advancement list if the SWE is waived, until approval of waiver is received.
- 5. Basic Eligibility and Advancement Requirements. Each enlisted member must complete and meet the eligibility requirements listed below by the Servicewide Eligibility Date (SED) of the applicable SWE listed in Article 3.A.3.c. of this Manual. For additional Reserve specific requirements, refer to Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
 - a. Complete required Rating Performance Qualifications Standard (RPQs) and Enlisted Professional Military Education (EPME) EPQs in accordance with Article 3.A.8. of this Manual.
 - b. Successfully complete the RAT for the applicable rate if required.
 - c. Successfully complete service course, if required, for particular pay grade or rating in accordance with Article 3.A.9. of this Manual.

- d. Meet citizenship or security clearance requirements for advancement in certain rates or ratings in accordance with Article 3.A.10. of this Manual.
- e. Be in proper path of advancement in accordance with Article 3.A.11. of this Manual.
- f. Fulfill special requirements for certain ratings in accordance with Article 3.A.12. of this Manual.
- g. For 12 months prior to the terminal eligibility date and through the effective date of advancement, members in pay grades E-4 and E-5 must have no unsatisfactory conduct mark, courts-martial (CM) or civil convictions, NJP punishments, or a mark of not recommended for advancement. See Article 3.A.13. of this Manual for additional guidance for members who lose their eligibility after participating in the servicewide exam.
- h. Fulfill time in service, time in pay grade in present rating, and sea duty requirements in accordance with Articles 3.A.15. and 3.A.16. of this Manual.
- i. Fulfill additional eligibility requirements for members competing in the E- 7, E-8, and E-9 examination in accordance with Article 3.A.6. of this Manual.
- j. Maintain the minimum factor average on the last evaluation in accordance with Article 3.A.7. and 4.D.4.b.(8) of this Manual.
- k. Be a graduate of a military recruit training center for advancement to E-2 in accordance with Article 3.A.21. of this Manual.
- l. Have successfully completed all Commandant required competencies, for particular pay grade and rate.
- m. Be recommended for advancement with a mark of ready by the CO/OIC. See Article 4.D.3. of this Manual for guidance on the advancement recommendation.
- n. For advancement to first class petty officer, must have successfully completed a required Leadership and Management (LAMS) Course.
- o. For active duty advancement to chief petty officer and senior chief petty officer, must have successfully completed the Coast Guard Chief Petty Officer Academy (CPOACAD) or one of the Department of Defense (DoD) Senior Enlisted Academies prior to advancement.
 - (1) Commandant (CG-12C) may grant waivers to Article 3.A.5.o. of this Manual based on needs of the Service.
 - (2) Waiver requests to Commandant (CG-12C) must be routed through member's first flag officer and gold badge command master chief.

- p. For active duty advancement to master chief petty officer, must have successfully completed the Coast Guard Senior Enlisted Leadership Course (SELC) prior to advancement.
 - (1) Commandant (CG-12C) may grant waivers to Article 3.A.5.p. of this Manual based on needs of the Service.
 - (2) Waiver requests to Commandant (CG-12C) must be routed through member's first flag officer and gold badge command master chief.
- 6. Additional Eligibility Requirements for Members Competing in E-7, E-8, or E-9 Examinations.
 - a. General.
 - (1) Members recommended for advancement to chief petty officer, senior chief petty officer, and master chief petty officer must be superior in leadership, military characteristics, technical knowledge, and performance of duty. They must be professionally qualified to fill any chief petty officer billet of their rating. Recommendations for participation in the chief, senior chief, and master chief petty officer competition should not be initiated solely on the request of the member.
 - (2) In addition to the basic eligibility and advancement requirements of Article 3.A.5. of this Manual, these members must meet the following requirements to be eligible to participate in the appropriate servicewide exam:
 - (a) For 24 months prior to the terminal eligibility date and through the effective date of advancement, have no unsatisfactory conduct mark, court martial (CM) or civil convictions, or non-judicial punishments (NJP). See Article 3.A.13. of this Manual for additional guidance for members who lose their eligibility after participating in the servicewide exam.
 - (b) Be able to meet the obligated service requirements of Article 3.A.20.d. of this Manual unless otherwise prohibited by Reference (c), Military Separations, COMDTINST M1000.4 (series).
 - b. Eligibility for Participation in Competition for Advancement to Pay Grade E-7.
 - (1) These members must be serving in enlisted status in pay grade E-6.
 - (2) To participate in the DVC active duty SWE, the member must possess the following certifications in accordance with Reference (1), Diving Program Manual, COMDTINST M3150.1 (series).
 - (a) First Class Diver
 - (b) Cold Water Ice Diver

- (3) There are no reserve specific requirements to advance to E-7.
- c. Eligibility for Participation in Competition for Advancement to Pay Grade E-8.
 - (1) These members must be serving in an enlisted status in pay grade E-7.
 - (2) Active duty members must:
 - (a) Have a total of at least ten years active service.
 - (b) To participate in the BMCS active duty SWE, the member must:
 - [1] Currently be certified to command afloat and ashore by the District Officer in Charge Review Board or AREA Officer in Charge Review Board, or
 - [2] Have held a surfman certification for a minimum of four years and be a certified to command ashore. Surfman certification must be within six years of the 1 February SWE eligibility date, or
 - [3] Have held a surfman certification for a minimum of four years, be certified to command ashore, and are currently serving in any permanently assigned OIC position.
 - (3) Reserve members must:
 - (a) Have a total of at least ten years satisfactory federal service in one or more components of the Armed Forces; this can be service on active duty or the SELRES or a combination of the two, and
 - (b) The four years immediately preceding participation in a SWE must be satisfactory federal service in the Coast Guard (either on active duty or in the SELRES) and in the examined rating. Temporary assignments to the IRR or ASL must not be disqualifying if the total period did not exceed 90 days and assignments were solely because of necessary delay in reassigning the candidate to a unit after release from EAD, ADOS, or the candidate's relocation or due to temporary physical disability or hardship.
- d. Eligibility for Participation in Competition for Advancement to Pay Grade E-9.
 - (1) These members must be serving in an enlisted status in pay grade E-8.
 - (2) Active duty members must:
 - (a) Have a total of at least 12 years active service.
 - (b) To participate in the BMCM active duty SWE, the member must:

[1] Currently be certified to command afloat and ashore by the District Officer in Charge Review Board or AREA Officer in Charge Review Board, or

[2] Be a career surfman certified to command ashore by the District Officer in Charge Review Board or AREA Officer in Charge Review Board. Career surfman are members that certify as surfmen at more than one unit and accumulate eight years as a certified surfman in surfman positions.

(3) Reserve members must:

- (a) Have a total of at least 12 years satisfactory federal service in one or more components of the Armed Forces; it can be service on active duty or the SELRES or a combination of the two, and
- (b) The six years immediately preceding participation in a SWE must be satisfactory federal service in the Coast Guard (either on active duty or in the SELRES) and in the examined rating. Temporary assignments to the IRR or ASL must not be disqualifying if the total period did not exceed 90 days and assignments were solely because of necessary delay in reassigning the candidate to a unit after release from EAD, ADOS, or the candidate's relocation or due to temporary physical disability or hardship.

7. Evaluation Marks.

- a. Minimum Requirements. Members who were marked not ready by their commanding officer in accordance with Articles 4.D.3. and 4.D.4. of this Manual respectively, on their last enlisted evaluation report are ineligible to advance or compete in the SWE. See article 3.A.5.g. and 3.A.6.a.(2).(a). of this Manual for members who receive a not recommended or unsatisfactory conduct mark.
- b. Performance Factor. Enlisted Evaluation Reports (EERs) for the member's current pay grade will be used to compute the performance factor, also referred to as EER points, up to the SED of the applicable SWE listed in Article 3.A.3.c. of this Manual, which becomes part of the final multiple score. Only those EERs with an effective date that falls within the evaluation report window shown below will be used. EERs dated within the EER window but submitted after the PDE correction deadline dates, as published in the ALCGENL message announcing the upcoming exam cycle, will not be included for that cycle. The EER window for the active and reserve SWE marks factor is:

For Advancement	Enlisted Evaluation Report Window
E-5	10 months prior to the SED
E-6	15 months prior to the SED
E-7	26 months prior to the SED
E-8	28 months prior to the SED
E-9	26 months prior to the SED

- c. SWE Enlisted Evaluation Report. A SWE EER may be completed for the purpose of qualifying a member for the SWE competition if the member has not been evaluated in the current pay grade during the evaluation report window listed above. SWE EERs must be dated on or prior to the SED and submitted prior to the published PDE correction deadline date to be counted for the upcoming SWE. A SWE EER will not be completed to raise the sum of an individual factor, change an unsatisfactory conduct mark, or change a commanding officer’s advancement recommendation.
- d. Broken Service. When Article 3.A.15.b.(3) of this Manual applies for members with broken service, only evaluations assigned during the current period of service will be utilized.
- e. Advanced Training. Since advanced training students are not normally evaluated, EERs received immediately prior to entering the advanced training program will be used. The following time periods apply for the May SWE:

E-7	Two years immediately before the date the member reported to the advanced training program
E-8	Two years immediately before the date the member reported to the advanced training program
E-9	Two years immediately before the date the member reported to the advanced training program in pay grade E-8

- 8. Rating Performance Qualifications (RPQ) and Enlisted Professional Military Education (EPME). The Coast Guard Learning Management System (LMS) is the only authorized repository for all RPQ and EPME course materials and the Training Management Tool is the official system of recording enlisted rating advancement requirements.
 - a. Rating Performance Qualifications (RPQs). RPQs are the core performance requirements of each rating and pay grade that a member must successfully perform to be eligible to advance or change rating. RPQs provide the foundation for Class “A” course training, rating courses, and all advancement examinations. In addition to the task to be performed, the RPQ includes required steps to perform the task, conditions under which the task must be performed, and the standard to which the task must be performed in accordance with Reference (k), Performance, Training, and Education Manual, COMDTINST M1500.10 (series).

- b. Military Requirements. All enlisted members must complete the EPME requirements and Advancement Qualification Exam (AQE) listed below before advancing to pay grades E-4 through E-8 as follows:

FOR ADVANCEMENT TO	REQUIRED EPME COURSE
E-4	AQE-4
E-6	AQE-6
E-8	AQE-8

9. Required Service Courses.

- a. Required Class “A” Courses. Members must complete the listed Class “A” course to advance to the indicated rates, unless Commander (CG PSC-EPM) waives the requirement.

RATING	Course
AMT	Aviation Maintenance Technician (AMT) Class "A" Course
AET	Avionics Electrical Technician (AET), Class "A" Course
AST	Aviation Survival Technician (AST), Class "A" Course
DV	Second Class Diver (DV), Class “A” Course
ET	Electronics Technician (ET), Class "A" Course
GM	Gunner's Mate (GM), Class "A" Course
HS	Health Services Technician (HS), Class "A" Course
ME	Maritime Enforcement Specialist (ME), Class “A” Course
MST	Marine Science Technician (MST), Class "A" Course
PA	Public Affairs Specialist (PA), Class "A" Course
OS	Operations Specialist (OS), Class "A" Course
IT	Information Technology (IT), Class "A" Course
IS	Intelligence Specialist (IS), Class “A” Course

- b. Waiver of Completion of Class “A” Course.

- (1) Satisfactory completion of a Class “A” Course of instruction at a Service school, or the equivalent, is considered as satisfying the requirement for completion of a rate training course for pay grade E-4 (petty officer, third class) and for pay grade E- 3 when that rate level has not yet been attained. Graduates of Coast Guard and Navy basic petty officers courses are assigned designators. Therefore, members who are assigned a designator are considered to have met the mandatory course requirement for the applicable rate. This in no way satisfies the need for completion of the EPME courses which are prerequisites for advancement in accordance with Article 3.A.8.b. of this Manual.
- (2) Satisfactory completion of Second Class Diver, Class “A” Course of instruction is considered as satisfying the requirement for completion of a rate training course for pay grade E-5 (petty officer, second class).

- c. Waiver of RAT. Requests to waive a member’s completion of the required RAT must be submitted to Commanding Officer (PPC (ADV)) copying Commander (CG PSC-EPM).

10. Citizenship or Security Clearance Requirements to Advance in Certain Ratings.

- a. General. In order to safeguard classified information, it has been necessary to establish the requirement that to be eligible to advance in certain rates or ratings, members must be eligible to have access to classified information. This security requirement for the rate or rating remains valid even though a member may not need a clearance in their presently assigned duties. Currently, a little less than half the Coast Guard’s rates and ratings fall in this category. The remaining ratings seldom require a member to have access to classified information and accordingly, commanding officers will ensure that members who are ineligible for access to classified information advance only in the "unclassified" ratings.
- b. Ratings Requiring Eligibility to Classified Information. These ratings, including their related service ratings or designators, require eligibility to access classified information:

RATES	RATINGS
	AET, AMT, AST, DV, ET, GM, ME, PA, OS, IT, IS

- c. Rates and Ratings Generally Not Requiring Access to Classified Information. These following rates and ratings, including their related service ratings or designators, generally do not require access to classified information:

RATES	RATINGS
FA, FN, SA, SN	BM, DC, EM, CS, HS, MK, MST, MU, SK, YN

- d. Advancement of Aliens.
 - (1) Definition. An alien is a person who is not a citizen or national of the United States. For purposes of this Article, an immigrant is an alien who has been lawfully admitted to the United States for permanent residence. An alien without immigrant status is one who has not been admitted to the United States for permanent residence under an immigrant visa.
 - (2) Path of Advancement for Immigrants. Immigrants are eligible for change to any rate or ratings for which qualified. However, eligibility for a security clearance (i.e., completion of a satisfactory background investigation) must be established in accordance with Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series), before change to the rating or assignment of a designator is permitted. When it is established that an immigrant desires to advance into a "classified" rating, the necessary background investigation will be initiated immediately. If qualification for the rating is contingent upon completion of classified training schools or courses and/or classified SWE, this security investigation must be completed before participation in such training or examination is permitted. Interim clearance may not be granted. Participation

in non-classified training and examination is permissible, but in no case may actual advancement or change in rating, or assignment of a designator be effective prior to the establishment of clearance eligibility. No waivers are granted.

- (3) **Immigrants Who Fail To Become Naturalized Citizens.** The Service will revoke the security clearance of immigrants who do not become naturalized within one year after completing residence requirements, normally three years of active service. This should normally coincide with the member's expiration of enlistment date. A member will not be eligible for reenlistment until they become a United States citizen. Refer other cases to Commander (CG PSC-EPM) for final decision.
 - (4) **Path of Advancement of Aliens Without Immigrant Status.** Aliens without immigrant status may, unless otherwise directed, only advance in ratings which do not require access to classified information. These members are not eligible for security clearance, as explained in Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series). Aliens, once they attain U. S. citizenship, are eligible for advancement or change to any rate or rating for which qualified.
- e. **Members in "Classified" Ratings and No Longer Eligible for Security Clearance.**
- (1) **Termination of Security Clearance Considered.** When it is determined by the commanding officer, or other competent authority, that a member in a "classified" rating as listed in Article 3.A.10.b. of this Manual is being considered for having their security clearance terminated for cause, thereby not meeting the requirements for a security clearance, the procedures outlined in Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series), will be followed.
 - (2) **Termination of Security Clearance.** In cases where a member's security clearance is terminated for cause, and the member is not recommended for separation from the Coast Guard, the member will be reassigned to a billet that does not require a security clearance. Processing must begin to change to a rating that does not require access to classified information as listed in Article 3.A.10.c. of this Manual. If the member's lateral change in rate request is approved by Commander (CG PSC-EPM), the member will remain so assigned long enough to compete in the next two SWE competitions for a lateral change in rate. If the member's lateral change in rate request is disapproved by Commander (CG PSC-EPM), the command must process member for separation in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series). In unusual cases, Commander (CG PSC-EPM) may waive some of the eligibility requirement provisions. In the case of a nonrate with a designator, e.g., SNOS, the designator will be removed and the member will be assigned to a nonrated position without a designator. Subsequently, if the commanding officer determines the member once again meets the requirements for issuance of a security clearance, as set forth in

- Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series), the commanding officer may request Commander (CG PSC-EPM) reassign the designator. Upon reassignment of the designator and providing the member is in all respects otherwise qualified, the member may be advanced in rate in accordance with current instructions. Article 3.A.24. of this Manual contains the policy regarding the assignment of designators.
- (a) Failure to Advance. If the member competes unsuccessfully in the next two SWE competitions, the member will be administratively discharged, or if the member so elects, be reduced in rate to SN and retained in the Service provided the member does not exceed the professional growth points outlined in the high year tenure policy, in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series).
 - (b) Expiration of Enlistment Prior to Lateral Change in Rate. If enlistment expires before the member has an opportunity to compete for a lateral change in rate, as in Article 3.A.10.e.(2)(a) of this Manual, and is recommended for reenlistment in an unclassified rating, enlistment may be extended for the time required.
 - (c) Not Recommended for Reenlistment. If the member's current record is considered sufficient basis to not recommend reenlistment in any rating, the member will be so advised and the requirements of Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series), will be administered.
- (3) Temporary Unsuitability. If the commanding officer feels the member's unsuitability for a security clearance is only temporary and the member is highly qualified in all other respects to serve in their rating, the member may be retained on board their operational unit for duty. The member will remain in this status for a maximum of three months unless otherwise directed by Commander (CG PSC-EPM). After three months, either the clearance will be restored or the member must be processed in accordance with Reference (d), Personnel Security and Suitability Program, COMDTINST M5520.12 (series). The member will be denied access to classified information during any period that suitability is in question.
- (4) Reporting Requirements. All cases processed under Article 3.A.10.e.(3) of this Manual will be reported by letter to Commander (CG PSC-EPM). The report will include the following:
- (a) Name, employee identification number (EMPLID), and rate,
 - (b) Date member determined temporarily ineligible for security clearance,
 - (c) Basis on which determination was made (cite specific items, incidents, etc.), and

(d) Course of corrective action being taken.

11. Path of Advancement.

a. Next Higher Pay Grade. An enlisted member will not be advanced more than one pay grade at a time in the rating that is in the proper path of advancement except by authority of Commandant (CG-1) or as authorized by Article 3.A.28. of this Manual.

b. Members Assigned Designators. Members assigned designators may advance only to the rating indicated by their designator. See Article 3.A.24. of this Manual for additional guidance on assigning designators.

c. Change in Rating.

(1) General Policy. The Commandant desires Coast Guard members to serve in the rate or rating for which they have the greatest aptitude and interest. Changes in rating may be authorized based on Service need, position vacancies, and the qualifications and desires of members. A change in rating will normally be considered for members with fewer than five years Coast Guard time in service, unless otherwise approved by Commander (CG PSC EPM) or (CG PSC-RPM).

(a) Member Request. At the request of the member concerned submitted to Commander (CG PSC-EPM-1) or (CG PSC-RPM) via the chain of command, or

(b) In the best interest of the Coast Guard. When a commanding officer considers a member is no longer qualified to perform all the duties of their rate or rating for reasons other than incompetence, but is qualified, or can within a reasonable time become qualified, for a change to another rate or rating, the commanding officer must inform Commander (CG PSC-EPM) or (CG PSC-RPM) setting forth the reasons in detail. A statement signed by the member concerning the situation will be forwarded as an enclosure. When Commander (CG PSC) considers the proposed change is required in the best interest of the Service, such change will be authorized. The provisions of this Article will not apply when there is any doubt as to the member's fitness for retention in the Service because of mental or physical reasons.

(2) Methods by Which Changes in Rating Are Effected.

(a) By special authority of Commandant (CG-1),

(b) By administrative action in accordance with Article 3.A.25. of this Manual,

(c) By successful completion of Class "A" or "C" school for the purpose of changing rating,

- (d) By successful completion of a striker program as specified in Article 3.C. of this Manual. Participation in a striker program to change rating must be authorized in each specific instance by Commander (CG PSC), or
 - (e) By SWE competition.
- (3) Subsequent Advancement Opportunity. Members approved by Commander (CG PSC-EPM) or (CG PSC-RPM) to change their rating may compete for advancement in their present rating, if otherwise qualified, until they are advanced to E-4 in their new rating.
- d. Headquarters Announced Deviation to Path of Advancement. The Commandant may authorize deviations from the normal path of advancement in Commandant Instructions or Notices to establish, disestablish, or merge ratings.
- e. Examination of Members Under Instruction in Service Schools.
- (1) Normal Path of Advancement. Members attending a Class "C" school which provides instruction in their normal path of advancement, if otherwise qualified, may participate in the SWE.
 - (2) Under Instruction for Change in Rating. All members authorized a change in rating who have not received orders to Class "A" or "C" schools for rating conversion may compete for advancement in their present rating, if otherwise qualified, until they are enrolled in school. Once enrolled in school, they will be considered to be in a "change of rating" status and are not eligible for advancement in the rating from which they are converting. An authorized advancement based on a SWE successfully completed prior to assignment to school may be effected.
 - (3) Automatic Change in Rating in Equal Pay Grade on Completion of Course. Members under instruction for change in rating in pay grade E-4 are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "A" Course. Members in pay grades E-5 or E-6 under instruction for change in rating are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "C" course. Members in pay grade E-6, who have requested assignment to a Class "A" course and receive orders to such course, are reduced to pay grade E-5 prior to departing present unit. Upon satisfactory completion of Class "A" course, all members in pay grade E-5 are reduced to pay grade E-4 and changed to the appropriate rating, unless specifically exempted by orders or current directives.
- Note 1: Members attending Second Class Diver, Class "A" Course for change in rating in pay grade E-5 are authorized change in rating to DV in equal pay grade on successful completion of DV Class "A" course.

Note 2: Members in receipt of orders to Second Class Diver, Class “A” Course in pay grade E-6 or above will be reduced to pay grade E-5 in accordance with Article 3.A.11.e.(3) of this Manual.

Note 3: Members attending Second Class Diver, Class “A” Course in pay grade E-4 may be advanced to pay grade E-5 upon successful completion of DV Class “A” course in accordance with Articles 3.A.21. and 3.A.23. of this Manual.

12. Special Requirement for Certain Ratings.

- a. Ratings Requiring Normal Color Perception and/or Normal Hearing. These ratings, including the assignment of designators, require incumbents to have normal color perception and/or normal hearing. Requests for waivers to these requirements will not be approved. However, members on active duty, who previously received a permanent waiver from Commandant, may remain and advance in their rating. All members who entered the MK rating prior to 1 October 2001 are exempt from the normal color vision requirement.

NORMAL COLOR PERCEPTION	NORMAL HEARING
AMT, AET, AST, BM, DV, EM, ET, GM, HS, IT, ME, MK, OS, IS, IV	AST, DV, IS, OS, IV

- b. Ratings Required to Perform Flight Duties. All enlisted members holding an aviation rating (AET, AMT and AST) volunteered for aviation duty upon requesting aviation Class “A” course, as explained in Reference (k), Performance, Training, and Education Manual, COMDTINST M1500.10 (series). Because of the likelihood of deployment during crisis, emergency or surge operations, these members are considered career aviators and must maintain their fitness to fly as outlined in the Coast Guard Air Operations Manual, COMDTINST M3710.1 (series) regardless of their current duty assignment. Those members who cannot, or choose not to, meet these requirements must change to a rating that does not have these requirements.
- c. Ratings Requiring Security Clearance. Members of the intelligence specialist (IS) rating (active and reserve) are required to maintain a top secret (TS) clearance and special compartmented information (TSI) eligibility. Failure to maintain these clearances renders an IS ineligible to participate in the servicewide exam and to advance to the next higher pay grade, and must be processed in accordance with Article 3.A.10.e. of this Manual.
- d. Investigator (IV) Rating.
 - (1) The IV rating is a Reserve-specific enlisted rating open to members in pay grades E-4 through E-9 to be assigned to the CGIS as special agents. Entrance to the IV rating is

- normally achieved by new accession through the direct petty officer (RX) program or by lateral change in rating. There is no direct path of advancement from E-3 to E-4. Lateral requests to the IV rating are normally authorized only at the E-4 and E-5 level.
- (a) IVs are required to hold CGIS special agent credentials, have normal color perception and hearing, and be eligible for a top-secret security clearance. If the member is unable to meet any of these requirements for a period of more than three months, the member must:
 - (b) Transfer into the IRR/Standby Reserve (ASL or ISL)/Retired Reserve (as applicable), request lateral to another rating, or be discharged, if the member no longer has an obligated service requirement. Members who do not hold credentials will not be eligible for advancement; and
 - (c) Request a lateral change into another rating for which they are eligible, if the member has an obligated service requirement remaining. If no lateral opportunities exist, the member may be discharged at the government's convenience.
 - (2) Assignment to the IV rating requires current and three years consecutive employment in a law enforcement field (e.g., police officer, federal agent, etc.) and civilian education in the investigation field.
 - (3) IVs will only be assigned to positions at CGIS units. If opportunities for over billeting exist, IVs will normally be assigned to work for Special Agents in Charge.
- e. Diver (DV) Rating. The DV rating consists of active duty members in pay grades E-5 through E-9 assigned to appropriate Diving units. Entrance to the DV rating is normally achieved through a request for change in rating and request to attend Second Class Diver, Class "A" Course. There is no direct path of advancement from E-3 to E-4. Change in rating requests to the DV rating are normally authorized only at the E-4 and E-5 level.
- (1) Members who qualify and attend Second Class Diver, Class "A" Course are considered career divers and must maintain their fitness to dive in accordance with Reference (1), Diving Program Manual, COMDTINST M3150.1 (series).
 - (2) Reference (1), Diving Program Manual, COMDTINST M3150.1 (series), sets forth procedures for commanding officers to ensure candidates are fully qualified to attend the Naval Diving & Salvage Training Center for Diver training. It provides guidelines on application procedures and prescreening qualifications.
13. Circumstances Which May Render Members Ineligible for Advancement. Members must maintain advancement eligibility from the date of recommendation through the date of advancement. Members who fail to maintain advancement eligibility will be removed from any active advancement eligibility list, and will not appear on an advancement eligibility list for a

SWE which they have participated in, but the associated list has not been published. Additionally, members will be removed from all existing published and unpublished advancement eligibility lists or supplemental advancement lists under the following conditions.

a. Disciplinary Status.

(1) Members who receive a courts-martial or civil conviction, NJP punishment, an unsatisfactory conduct mark, or a sum of marks in an individual factor is less than those provided for in Article 4.D.4.b. of this Manual are no longer eligible for advancement in accordance with Articles 3.A.5. and 3.A.6. of this Manual. Commanding officers will contact Commanding Officer (PPC (ADV)) copying Commander (CG PSC-EPM-1) or (CG PSC-RPM) as information addressee, to remove any member who meets these criteria from all existing advancement eligibility lists.

b. Loss of Commanding Officer's Advancement Recommendation of Ready.

(1) Members whose commanding officer has withdrawn their advancement recommendation mark of ready are not eligible to advance. Commanding officers will notify Commanding Officer (CG PPC (ADV)) copying Commander (CG PSC-EPM-1) or (CG PSC-RPM) as information addressee, to remove from all existing advancement eligibility lists.

c. Confinement.

(1) Members in confinement are ineligible to advance, to compete for advancement, or change in rating. A substitute examination will not be provided.

d. Members Selected for Chief Warrant Officer (CWO) Appointment.

(1) Members selected for appointment to chief warrant officer or above the cutoff on the CWO list, are ineligible for advancement to E-7, E-8, or E-9. Their names automatically will be removed from established enlisted eligibility list 60 days after publication of the officer eligibility lists, unless a member concerned has notified Commander (CG PSC-EPM) that they do not intend to accept the chief warrant officer appointment. A member selected for advancement to E-7, E-8, or E-9 during the above 60 day window must make a decision at that time, vice 60 days after notification, regarding their intentions to accept either advancement or appointment to CWO.

e. Disabled Members.

(1) Members Hospitalized/Awaiting Medical or Physical Evaluation Board Action/Not Fit for Duty. Members recommended for advancement with a mark of ready who are either hospitalized, awaiting action of a medical or physical evaluation board, or are in a not fit

for duty status will be permitted to participate in the SWE competition process provided all of the following criteria are satisfied:

- (a) The member retains the commanding officer's recommendation of ready; see Article 4.D.3. of this Manual for guidance on the commanding officer's advancement recommendation, and
- (b) The commanding officer feels such competition would not be detrimental to the member's health.

(2) Members Declared Unfit for Duty. Members declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures are ineligible for participation in the SWE competition. However, members granted a waiver for retention on active duty in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series), are eligible.

- f. Members with Approved Request for Retirement. Members with approved requests for retirement are ineligible for further advancement. Their SWE will be invalidated and/or their name removed from the existing eligibility list, if applicable. This article does not apply to members who submit a retirement request as part of the Higher Year Tenure policy, see Article 3.A.14 of this Manual.
- g. Members Who Cancel Requests for Retirement. Members whose retirement request are canceled under the provisions of Reference (c), Military Separations, COMDTINST M1000.4 (series), will not be reinstated on existing eligibility lists for advancement.

14. High Year Tenure. See Chapter 3 of Reference (c), Military Separations, COMDTINST M1000.4(series) for advancement eligibility for members who are High Year Tenure candidates.

15. Service Requirements and Determination of Service.

a. Service Requirements.

(1) The minimum time in grade and rating required for advancement in rate for active duty and reserve members are listed in the table below and are computed in accordance with Article 3.A.15.b. of this Manual.

Advancement to:	Minimum Active Service Requirements
E-1 to E-2	May be effected upon recommendation of their commanding officer.
E-2 to E-3	Six months in pay grade E-2 or satisfactory completion of Class "A" course
E-3 to E-4	Six months in pay grade E-3
E-4 to E-5	Six months in pay grade E-4 in current rating
E-5 to E-6	12 months in pay grade E-5 in current rating

E-6 to E-7	24 months. For AD members have serviced on continuous active duty
E-7 to E-8	24 months
E-8 to E-9	24 months

- Note 1: Active duty members who graduate from Second Class Diver, Class “A” Course must have six months in pay grade E-4 in their legacy rating for advancement to E-4 to E-5.
- Note 2: Active duty members competing for pay grades E7, E8, and E9 must have served in current pay grade during the entire two years immediately preceding the terminal eligibility date.
- Note 3: Commanding Officers of Training Centers may waive, of up to 30 days, the minimum active service requirement for advancement from pay grade E-3 to E-4 for graduates of Class “A” Course. Eligible members must have demonstrated the leadership and technical ability to perform at the E-4 pay grade, but do not meet time in grade requirements for advancement upon graduation.

(2) Reserve members must also meet the minimum days of active duty for advancement for SELRES computed to the TED listed in Article 3.A.3.d. of this Manual as follows:

Days of ADT	
E-2 to E-3	None
E-3 to E-4	12 days in pay grade E-3
E-4 to E-5	12 days in pay grade E-4
E-5 to E-6	12 days in pay grade E-5
E-6 to E-7	24 days in pay grade E-6
E-7 to E-8	24 days in pay grade E-7
E-8 to E-9	24 days in pay grade E-8

(3) All service on any type of active duty (of any type including EAD, ADT, ADOS or mobilization) must be included.

[1] Candidates who receive AT waivers because of budget constraints must be given full credit for the days waived for advancement eligibility purposes, in current pay grade, up to a maximum of 12 days per fiscal year. The waiver and the fact it was based on a Commandant (CG-131) Directive, not at the request of the reservist, must be documented in a PDR entry.

[2] Reservists with accession classifications of RP or RK who have successfully completed Class “A” course may use active duty performed as an E-2 to satisfy the ADT requirement for advancement to E-4.

[3] Reserve active duty is not able to be tracked by the SWE eligibility criteria in Direct Access, therefore, the member's commanding officer must mark the candidate's EER as "not ready" if minimum days of active duty for advancement has not been met.

b. Determination of Service. Determination of service for eligibility for advancement will be made as follows:

(1) Time in Service (TIS). TIS for eligibility for advancement is as follows:

(a) Active Duty Member's TIS. TIS is active duty in any of the Armed Forces and their Reserve components calculated using a correct active duty base date computed to the TED listed in Article 3.A.3.d. of this Manual. Periods of inactive duty, periods between discharge and reenlistment, and deductible time are not creditable for time in service. Reference (m), the Coast Guard Pay Manual, COMDTINST M7220.29 (series), provides guidance in determining deductible time.

(b) Reserve Member's TIS. TIS for Reserve members are calculated using the pay base date (PBD) computed to the TED listed in Article 3.A.3.d. of this Manual. If a candidate has a break in service (out of active status or out of the Service over three months) in the same or higher pay grade, previous satisfactory service in the Coast Guard or Coast Guard Reserve is creditable if a minimum of one half of the period required was served during the current enlistment. Reference (m), the Coast Guard Pay Manual, COMDTINST M7220.29 (series), provides guidance in determining deductible time.

(2) Time in Pay Grade in Present Rating (TIR). TIR is computed from the effective date of advancement to present pay grade for the rating in which presently serving to the TED listed in Article 3.A.3.d. of this Manual. All TIR while on active duty in the Coast Guard, on extended active duty for more than one year in the Coast Guard Reserve, or served during a prior service active or reserve duty period in another military service (provided the member wasn't reduced and subsequently advanced), will be credited as TIR. No credit will be given for the following service:

(a) If a member is reduced for disciplinary reasons and subsequently advanced, TIR is calculated from the date of the most recent advancement. The time prior to the reduction is lost.

(b) Periods of inactive duty, periods greater than three months between discharge and reenlistment, and deductible time in any branch of the Armed Forces or their Reserve components.

(3) Reenlistment Under Continuous Active Service and Broken Active Service Conditions.

- (a) TIR Credit. Only time previously served in the present or higher pay grade in the Coast Guard or Coast Guard Reserve, under continuous active service conditions within three months of separation, is creditable toward TIR for eligibility.
 - (b) TIR Credit upon Return to Enlisted Status. TIR requirement for members who return to enlisted status after serving as a warrant or commissioned officer commences on the date of return to enlisted status. Time served as a warrant or commissioned officer is not creditable toward TIR multiple computation.
 - (c) TIR Credit for Time Served Prior to Serving as a Warrant or Commissioned Officer. Any enlisted time served in present or higher pay grades prior to serving as a warrant or commissioned officer is creditable for TIR for point purposes only. For example, if a member served as an E-7 for two years prior to being commissioned and then reverts to E-7, credit will be given for TIR by adding those two years to the TIR.
 - (d) TIR Credit for Higher Pay Grade. If a member held a higher pay grade, the time in the higher pay grade is not creditable toward TIR calculations for the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.
 - (e) TIR Credit for Broken Service. Members with broken active service or out of service over three months will have their date of rank (DOR) and TIR based on the effective date of their reenlistment. Members who return to active duty within two years of their separation will receive full credit for any TIR formerly creditable prior to their separation. Members who return to active duty after two years from their date of separation will receive TIR credit from the return date and forward.
 - (f) TIR Credit for Temporary Separation Program. Members who return to active duty from the temporary separation program will receive full credit for any TIR formerly creditable prior to their separation under the temporary separation program.
- (4) USCGR Members on Active Duty Who Voluntarily Accepted a Reduction in Rate to Enlist or Reenlist Under Continuous Service Conditions in the USCG. Former Coast Guard Reserve members who voluntarily accepted a reduction in rate for the purpose of enlisting or reenlisting in the active duty Coast Guard will meet all the eligibility requirements of Article 3.A.5. of this Manual and compete in SWE competition for re-advancement. Time in the higher pay grade is not creditable at the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.
- (5) Members Reduced in Rate. Members, reduced in rate for disciplinary reasons may not count prior service in present or higher rates in determining TIR. The date of reduction is effective date of pay grade in present rating for determining subsequent advancement.

(6) Members Restored in Rate.

- (a) Article 15, Uniform Code of Military Justice (UCMJ). Article 15, UCMJ, and Paragraph 134, Manual for Courts Martial (MCM) and Reference (n), Military Justice Manual, COMDTINST M5810.1 (series), provide commanding officers with authority to set aside, remit, mitigate, or suspend, within four months of its imposition, a punishment of reduction in rate imposed under Article 15, UCMJ, without Reference to the Commandant. The specific action taken by the commanding officer has a direct effect on the member's effective date of pay grade in present rating for subsequent advancement purposes. Generally speaking:

[1] When a member is reduced in rate and that punishment is later set aside and remitted or mitigated by the commanding officer within four months, the commanding officer will restore all rights, privileges, and property affected. The member's TIR is the same as if punishment had not been imposed. In all cases, commanding officers should carefully annotate their actions with appropriate Personnel Data Record entries so that the action they intended may be properly reflected.

[2] When a commanding officer immediately suspends a punishment of reduction in rate for a probationary period and the probationary period expires without execution of reduction, the member's original TIR is the same as if the punishment had not been imposed.

- (b) Commander (CG PSC-EPM) Action. Article 3.A.28. of this Manual provides guidance in recommending members for restoration in rate not covered above. If the restoration is approved by Commander (CG PSC-EPM), the effective date of the restoration and eligibility date for subsequent advancement will be contained in the approval letter.

(7) Members Removed From Temporary Disability Retired List. Members placed on the temporary disability retired list who are subsequently found fit for duty and reenlist, will be credited with all active service in pay grade prior to retirement. Time spent on the temporary retired list is not creditable in computing TIR requirement for advancement.

(8) Computing Periods of Less Than a Month. Compute service in years and months. Periods of less than one month, when totaled, will be considered on the basis of 30 days being equivalent to one month.

16. Sea/Surf Duty for Advancement.

a. Minimum Sea/Surf Duty.

- (1) **Deadline for Eligibility.** The minimum sea duty for advancement must be met by the SED listed in Article 3.A.3.c. of this Manual. Waivers for this requirement must be requested by the command and will not be granted except in cases where a member is presently serving at sea or is under orders to sea duty and will meet the sea duty requirement by the effective date of the advancement eligibility list (1 July following the November SWE or 1 January following the May SWE). This waiver may also be granted to certified surfmen assigned PCS to a designated surf station or the National Motor Lifeboat School, who hold the CXNSJ, CXNSK, CXNSM, CXNSU or CXNNLBS competency code.
- (2) **Transfer Due to Needs of the Service.** If a member is transferred from a sea duty assignment before completing the required sea duty for advancement due to the needs of the Service, the sea duty requirements for advancement may be waived. To ensure proper documentation, the member's transfer orders must state the early rotation is due to needs of the service.

b. **Sea Duty for Advancement Eligibility.** Sea duty for advancement eligibility (not to be confused with sea/surf duty points found in Article 3.A.16. of this Manual) is defined as duty (PCS or TDY) aboard:

- (1) A vessel or mobile unit as defined by Chapter 4 of Reference (m), Coast Guard Pay Manual, COMDTINST M7220.29 (series),
- (2) An aids to navigation facility (ANFAC),
- (3) The Coast Guard Yard's WYTM, as a ship rider,
- (4) A fleet training group/unit (FTG/FTU),
- (5) A LEDET, when assigned to vessels on a TDY basis,
- (6) International Training Division (ITD) (for time attached to ITD on or after 21 Oct 2002),
- (7) A Maritime Force Protection Unit (MFPU), when assigned to Personnel Allowance List (PAL) position designated as crewmember onboard Blocking Vessel (BV) on or after 1 Feb 2015).
- (8) An MSST or MSRT, when assigned to designated position as qualified coxswain, or

- (9) Members who entered the RM rating prior to 1 February 1994 who have at least 12 months of duty above pay grade E-3 at a communications or radio station as an RM or TC meet the sea duty requirement for advancement to OSC.

Note: Sea time for advancement eligibility is based on a members record of PCS assignment to Coast Guard sea pay or sea time eligible vessels and credited automatically when SWE PDE's are created. Credit for TDY afloat periods on Coast Guard ships must be requested and manually credited by Commanding Officer (CG PPC (ADV)). Members requesting sea time for advancement eligibility credit for prior service assignments on other than Coast Guard ships, must first have a Statement of Creditable Sea Service (SOCSS) completed by PPC (SES) and are considered on a case-by-case basis.

c. Minimum Sea Duty Entering Designated Ratings Prior to 1 February 1994.

- (1) Minimum Sea Duty Requirement. For active duty members entering their designated ratings prior to 1 February 1994, the minimum sea duty requirements for advancement eligibility in the ratings are listed below:

PAY GRADE	RATINGS	MINIMUM SEA TIME
E-6	BM, DC, EM, MK	6 months in any rating or pay grade
E-7	BM, DC, EM, MK	12 months above pay grade E-3 in designated rating

- (2) Surfmen. Surfmen (CXNSU, CXNSM, CXNSK, CXNSJ, CXNNLBS) who have satisfactorily served for 12 months as a certified surfman (E4-E6) at a designated surf station are considered to have permanently met the sea duty requirement for advancement up to BMC.

d. Minimum Sea Duty Entering Designated Ratings on or after 1 February 1994.

- (1) Minimum Sea Duty Requirement. For active duty members entering their designated ratings on or after 1 February 1994, the minimum sea duty requirements for advancement eligibility in the ratings are listed below:

PAYGRADE	RATINGS	MINIMUM SEA TIME
E-6	BM	6 months in any rating or pay grade
E-6	MK	12 months in any rating or pay grade
E-6	DC, EM	12 months in designated rating in any pay grade
E-6	CS	24 months in any rating or pay grade
E-7	BM	12 months in designated rating in any pay grade
E-7	DC, MK, ET	18 months in designated rating in any pay grade
E-7	EM	24 months in the designated rating (including legacy FT) in any pay grade
E-7	CS	36 months in designated rating in any pay grade

E-7	OS	12 months in designated rating (including legacy rating) in any pay for all members who lateraled to OS on 1Jul03.
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(2) **BM's Qualified as Coxswain.** BMs who have been qualified as a coxswain, as defined in the U. S. Coast Guard Competency Management System Manual, COMDTINST M5300.2 (series), with at least 12 consecutive months of satisfactory performance as a regularly assigned boat coxswain on a boat listed in the U. S. Coast Guard Boat Operations and Training (BOAT) Manual, Vol. I, COMDTINST M16114.32 (series) (includes standard and non-standard boats), are considered to have met the sea duty requirement for advancement to E-6. Winter months that preclude boat activity will be credited toward the consecutive duty criteria. The member's unit or servicing SPO will record the coxswain competency into Direct Access. If the member will meet the 12 months coxswains time by the SWE TED, a sea time waiver may be requested from Commanding Officer (CG PPC (ADV)).

(3) **Surfmen.** Surfmen (CXNSJ, CXNSM, CXNSK, CXNSU or CXNNLBS) who have satisfactorily served for 12 months as a certified surfman (E4-E6) at a unit with an MLB or SRB assigned are considered to have permanently met the sea duty requirement for advancement up to BMC.

(4) There are no reserve specific sea duty requirements for enlisted advancements.

- e. **Excluded Ratings.** Members advancing in ratings excluded from Articles 3.A.16.c. and 3.A.16.d. of this Manual are not required to have sea duty experience.
- f. **Sea Duty Requirement for Change in Rating.** A member holding a rating excluded from sea duty requirement under Articles 3.A.16.c., 3.A.16.d., and 3.A.16.e. above, desiring a change to a rating that has a sea duty requirement must meet the sea duty requirement for the desired rating.

17. **Sea/Surf Duty and Award Points for Servicewide Examination Competition.**

- a. **Computation of Sea/Surf Duty and Award Points.** Commanding Officer (CG PPC) will compute total sea duty and award points for each member prior to the SWE competition. The following rules apply:
 - (1) **Date of Rank Prior to 1 January 2010.** For members whose date of rank is prior to 1 January 2010, the points will be applied to each SWE competition, irrespective of whether a member was previously advanced using the sea duty or award points or the member's current duty assignment. Creditable sea duty points will be computed from 1 February 1994 to the applicable SED listed in Article 3.A.3.c. of this Manual. All awards earned with point value as described in Article 3.A.3.f.(2) of this Manual will be credited

for all periods of military service for members who have not advanced on or after 1 January 2010.

- (2) Date of Rank on or after 1 January 2010. Effective 1 January 2010, any member advanced to E-5 and above with a date of rank of 1 January 2010 or later will receive final multiple points for only those award points earned and the sea/surf time served from the eligibility date of the member's current grade through the applicable SED listed in Article 3.A.3.c. of this Manual.

b. Rules Specific to Sea/Surf Duty Points.

- (1) Maximum Career Points. Members competing in the SWE competition will receive credit for each full month of Coast Guard sea duty earned after 1 February 1994, not to exceed two whole points per year, up to a maximum of 30 points in a career.
- (2) Members Assigned to a National Security Cutter (WSML). Members assigned PCS to a WSML on or after 1 January 2016 will receive credit for each full month of sea duty, not to exceed 2.333 points per year.
- (3) Members Assigned to a Surf Station or the National Motor Lifeboat School. Members assigned PCS to a designated surf station or the National Motor Lifeboat School and holding the CXNSJ, CXNSK, CXNSM, CXNSU OR CXNNLBS qualification code, may earn surf duty points at the rate of one point per year (.083 points per month) retroactive to 1 January 2000, up to a maximum of 15 points in a career. Points will be applied to each SWE competition, regardless of whether the member advanced or transferred away from a surf duty station. However, the additional points are not retroactive to participation in a previous SWE. The combination of sea duty and surf duty points may not exceed a maximum of 30 points in a career. The creditable surf duty point factor should not be confused with the creditable surf duty eligibility rules for advancement. The provisions contained in Article 3.A.16. of this Manual continue to apply.

Note: The creditable sea/surf duty point factor is not to be confused with sea duty for SWE eligibility. See Article 3.A.16.c and 3.A.16.d. of this Manual for policy guidance on sea/surf duty requirements.

- c. Points Start Date. The points start date (PSD) is the accrual start date for sea/surf/award points for SWE final multiple. This date is reset upon an advancement to E-5 and above or reduction in grade. The following rules apply:
 - (1) New Accessions. New accessions with prior service will request point determination from Commanding Officer (CG PPC (ADV)).
 - (2) Advancing off the Supplemental Advancement List. Supplemental advancement lists are used in lieu of a SWE examination in a particular rating/pay grade and are part of the

overall SWE process. Therefore, upon advancing through the supplemental advancement process on or after 1 January 2010, the PSD will be reset to the effective date of placement on the supplemental list upon advancement.

- (3) Meritorious Advancement. Upon meritorious advancement on or after 1 January 2010, the PSD will be reset to the date of the message announcing their meritorious advancement.
- (4) Lateral Change in Rating. The PSD will not reset until subsequently advanced.
- (5) Change in Rating with Reduction in Grade. A change in rating requiring a reduction in grade (e.g., E-5 to E-4 after graduating from Class "A" course for the new rating or after a break in service) will set the PSD to the original PSD for current grade.
- (6) Involuntary Reduction in Grade Due to Discipline. The PSD will reset to date of reduction regardless of whether the member is reinstated to the higher grade at a later date, including members reduced for incompetency. Members reduced due to discipline and later reinstated to their original grade will have their PSD set to the date of reinstatement (advancement).
- (7) Voluntary Reduction Not Due to Discipline. The PSD will be the original PSD held prior to the grade to which reduced as though the advancement to the higher grade had never occurred.
- (8) Returning to Active Duty after a Temporary Separation. The member will request PSD determination from Commanding Officer (CG PPC (ADV)).
- (9) Academy Cadet/Officer Reverted to Enlisted Status. The PSD will be manually set to the member's initial entry date if never advanced while in an enlisted status after 1 January 2010. If the member was previously advanced while in enlisted status after 1 January 2010 and subsequently promoted to officer status then reverts to enlisted status, the PSD will be set to the date it was prior to becoming an officer. Sea/surf/award points earned while an officer will be credited along with prior enlisted points earned after the PSD.
- (10) OCS/Officer Reverted to Enlisted Status. If a member fails to complete OCS, the PSD will not be changed until the next advancement through the SWE process. When a member successfully completes OCS and later returns to enlisted status, the PSD will be manually set to the members initial entry date if never advanced while in enlisted status after 1 January 2010. If the member was previously advanced while in enlisted status after 1 January 2010 and subsequently promoted to officer status then reverts to enlisted status, the PSD will be set to the date it was prior to becoming an officer.

Sea/surf/award points earned while an officer will be credited along with prior enlisted points earned after the PSD.

18. Verification of Eligibility. The member is responsible to review the online PDE which is posted in Direct Access shortly after the SED for each SWE cycle. If PDE status shows something other than an "eligible" status, reasons for ineligibility will be listed on the online PDE. Personnel Data Record entries, including the Performance Support Worksheet, Form CG-RPQ-XXX, (series), must support eligibility to participate in the examination to advance in or change rating.
19. Requesting Personnel Data Record (PDR) Information. A candidate's current Personnel Data Record (PDR) should contain the information necessary to verify a member's eligibility for advancement. If the PDR does not, the local unit can request such information from Commander (CG PSC-BOPS-C-MR). Since the information request is purely administrative, the unit need not send the request through the chain of command and can mail it directly to Commander (CG PSC-BOPS-C-MR), who will return it in the same manner. Submitting requests early is essential to avoid penalizing eligible candidates. Substitute examination will not be provided except in extenuating circumstances outlined in Article 3.B.2. of this Manual.
20. General Provisions for Advancement.
 - a. Unfit for Duty. Members declared unfit for duty by Commander (CG PSC)'s final action on physical disability retirement and separation procedures are eligible for advancement if their name appears above the cut-off for advancement on the current advancement eligibility list. Members who are being retired for physical disability under the provisions of Title 10, Chapter 61 will be advanced prior to retirement.
 - b. Withholding Advancements.
 - (1) Withholding Advancement due to pending disciplinary action or ongoing investigations. The commanding officer will withhold advancement for any member who has any disciplinary action pending, or any member who is subject of an ongoing investigation.
 - (2) Withholding Advancement for other reasons. The commanding officer will withhold advancement for the following reasons:
 - (a) Not maintaining the eligibility requirements for advancement found in Article 3.A.5. of this Manual,
 - (b) Undergoing medical treatment as a result of their own misconduct and subject to disciplinary action,

- (c) Holding an aviation rating but in a non-flying status in accordance with Reference (o), Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 (series),
 - (d) Declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures provided their names appear below the cut-off for advancement on the current advancement eligibility list, or
 - (e) Not in compliance with Reference (i), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series).
- (3) Notification Requirement. If advancement is not effected for any reason listed above, the commanding officer will notify Commanding Officer (CG PPC (ADV)), the cognizant SPO and Commander (CG PSC-EPM) or (CG PSC-RPM). Include the reasons for the action and a statement that the member understands why advancement was withheld.
- (4) Advancement after Being Withheld.
- (a) An advancement withheld in accordance with Article 3.A.20.b.(1) may be effected if the disciplinary action was entirely dismissed, or if based on the findings of an investigation the commanding officer has determined the member has committed no wrong doing. Provided the member has maintained the commanding officer's recommendation for advancement of ready, the commanding officer will advise Commanding Officer (CG PPC) and Commander (PSC-EPM) or (PSC-RPM), with their recommendation that the member be advanced. This recommendation must include a statement from the commanding officer certifying that no adverse action has been taken against the member, the member has been found to have committed no wrong doing, and the member has their favorable recommendation for advancement. The member will be advanced effective on the date they would have otherwise been advanced if the advancement was not withheld, regardless of the expiration date of the eligibility list. Advancements under this article are not considered "retroactive advancements" as defined elsewhere in this policy.
 - (b) An advancement withheld in accordance with Article 3.A.20.b.(2) may be effected at a later date but not later than the expiration of the current eligibility list. When the commanding officer feels that a member is deserving of an advancement that has been withheld, they will advise Commander Officer (CG PPC) and Commander (PSC-EPM) or (PSC-RPM), with their recommendation that the member be advanced.
 - (c) No member whose advancement has been withheld may be carried over to the new eligibility list.

- c. Cancellation of Advancement. If at any time prior to effecting an advancement, a commanding officer wishes to withdraw their advancement recommendation of ready because a member has failed to remain eligible, the commanding officer will advise Commanding Officer (CG PPC), copying Commander (CG PSC-EPM) or (CG PSC-RPM) as an information addressee, to remove the member's name from the eligibility list. This notification will state the reasons for the action and include a statement that the member understands the reasons their name will be removed from the eligibility list. This notification is not for the purpose of a review of the commanding officer's decision, but rather to allow for orderly personnel and financial planning by Commander (CG PSC). The only review of the commanding officer's decision under Articles 3.A.20.c. or 3.A.20.d. of this Manual would be a complaint under Article 138, UCMJ.

Note: Under Article 138, UCMJ, no one, including the officer exercising general court martial jurisdiction (OEGCMJ), has the authority to change a commanding officer's decision on an advancement recommendation and re-instate a member on the eligibility list for advancement except Commandant (CG-13). An OEGCMJ who disagrees with the commanding officer's decision may forward the Article 138 complaint with a recommendation for reinstatement to Commandant (CG-13).

- d. Obligated Service Requirement.

(1) For Advancement to E-7, E-8, E-9.

(a) Members advancing to pay grade E-7, E-8, or E-9 will be required to remain on active duty for two years from the effective date of their advancement to the new grade unless otherwise prohibited per Reference (c), Military Separations, COMDTINST M1000.4 (series).

(b) Members who accept advancement to pay grade E-7, E-8, or E-9, not serving on an indefinite reenlistment, will be required to either extend their enlistment or reenlist prior to advancement, if necessary, to ensure meeting the two year obligated service requirement unless otherwise prohibited.

(2) Request for Voluntary Retirement. Members advanced to pay grade E-7, E-8, or E-9 understand that a request for voluntary retirement or early release will not be affected prior to completion of the two year obligated service requirement per Reference (c), Military Separations, COMDTINST M1000.4 (series).

(3) Declining Obligated Service. Members who do not desire to incur the two year obligated service must decline the advancement to pay grade E-7, E-8, or E-9 prior to the effective date of advancement. Follow Article 3.A.20.e. of this Manual for members who decline advancement or voluntarily elect to have their name removed from the SWE

advancement eligibility list. Upon effecting the advancement to pay grade E-7, E-8, or E-9, members incur the two year obligated service.

e. Members Who Decline Advancement or Voluntarily Elect to be Removed from an Eligibility List.

- (1) Active duty members who decline advancement or voluntarily elect to be removed from an eligibility list will be removed from all existing advancement eligibility lists, and will be required to wait one year from the anniversary date of that election before being eligible to re-compete or participate in future servicewide examinations. At the time the member makes either of the above elections, Commanding Officer (CG PPC) and Commander (CG PSC) will be notified.
- (2) Reserve members who decline advancement to E-8 or E-9 or who voluntarily elect to be removed from an eligibility list must be removed from all existing advancement eligibility lists, and will be required to wait two years from the date of that election before being eligible to re-compete or participate in future servicewide examinations for E-8 or E-9. At the time the member makes election, Commanding Officer (CG PPC) and Commander (CG PSC) will be notified.
- (3) An Administrative Remarks, Form CG-3307, entry will be made, which the member must sign signifying they understand they are ineligible to participate in the SWE for the appropriate period specified above. The original Administrative Remarks, Form CG-3307, entry will be forwarded immediately to Commander (CG PSC-BOPS-C-MR). If the member reenlists and the one year period has not elapsed, the Administrative Remarks, Form CG-3307, entry will be retained in the working Personnel Data Record on reenlistment.

21. Authority for Advancement in Rate.

a. Pay Grade E-4 Through E-9.

- (1) Commander (CG PSC). Commander (CG PSC) will publish a list of members eligible for advancement or change in rating as a result of SWE competition to fill vacancies in pay grades E-4 through E-9. Commanding officers may advance members listed on the monthly advancement announcement.
- (2) Advancement of Members Assigned a Designator. District commanders, commanders of logistics/service centers, and commanding officers are authorized to advance, without Reference to Commandant (CG-1), from pay grade E-3 to E-4 or E-4 to E-5 members who were assigned a designator upon graduation from a Class "A" course once the member satisfies all applicable eligibility requirements of Article 3.A.5. of this Manual or those who were released from active duty and reenlisted with a designator after being out

of the Coast Guard for more than 24 hours once the member satisfies all applicable eligibility requirements of Article 3.A.5. of this Manual.

(3) Members Undergoing Training.

(a) Class “A” Course Graduates Eligible for Advancement. The below listed commands are authorized to advance from pay grade E-3 to E-4 or E-4 to E-5 those Class “A” course graduates who satisfy applicable advancement eligibility requirements of Article 3.A.5. of this Manual upon graduation:

[1] Commanding officers of Training Centers conducting Class “A” courses.

[2] District commanders to which Coast Guard members have been assigned for administrative and personnel accounting purposes while attending Navy schools or other training.

[3] Commanding officers of Naval commands to which Coast Guard members have been assigned for training and which have been designated personnel accounting units.

(b) Class “A” Course Graduates Not Eligible for Advancement. Class “A” course graduates who do not qualify for advancement to pay grade E-4 upon graduation are assigned designators as prescribed in Article 3.A.24. of this Manual.

b. Pay Grades E-1 Through E-3.

(1) District Commanders and Commanding Officers. Upon receipt of written notification of completion of courses and performance qualifications, as identified on a member’s Career Development Worksheet (CG-2030), commanders and commanding officers are authorized to advance members who meet the applicable eligibility requirements of Article 3.A.5. of this Manual from pay grade E-2 to E-3 and from E-1 to E-2 without regard to vacancies. In addition, a member must be a graduate of a military training center to be eligible for advancement to E-2.

(2) Members Undergoing Training. Commanding officers of training centers are authorized to advance members from pay grade E-1 to E-2 upon satisfactory completion of recruit training.

(3) Graduates of Class “A” Courses. Commanding officers are authorized to advance E-2 graduates of Class “A” Courses to E-3. Required completion of E-3 performance qualifications for advancement to E-3 is waived for these members.

c. Election for Advancement to Pay Grades E-4 through E-6 or Assignment to Class “A” Course. Effective immediately, upon receipt of orders to Class “A” course or upon receipt of

advancement authority resulting from SWE competition or supplemental eligibility list, the member must elect whether Class “A” course or advancement is desired.

- (1) Advancement Resulting from SWE Competition or Advancement Eligibility List. If a member accepts advancement to pay grade E-4 through E-6, the member's commanding officer will request that Commander (CG PSC-EPM) remove the member's name from any Class “A” course waiting list which was previously requested.
- (2) Advancement While Attending Class “A” Course. If a member accepts orders to a Class “A” course, the member will be ineligible for advancement to pay grade E-4 through E-6 as a result of any previous competition in the SWE or placement on an advancement eligibility list. The member's commanding officer must send a request to Commanding Officer (CG PPC) and info Commander (CG PSC-EPM-1) to remove the member from any advancement eligibility list. Training commands must request cancellation of advancement authority for all students who are attending a Class “A” course if advancement authority is received while the member is attending a Class “A” course. No member will be advanced to pay grade E-4 through E-6 at any training command prior to graduation. Members who elect to attend a Class “A” course in lieu of accepting advancement to pay grade E-4 through E-6 as a result of SWE competition or placement on an advancement eligibility list and subsequently fail to graduate from a Class “A” course will be required to re compete for advancement.
- (3) Member Election. Members enrolled in a Class “A” course will be authorized to elect one of the following:
 - (a) Continue with their Class course training and request their name be removed from the SWE eligibility list.
 - (b) Request disenrollment from Class “A” course. Members will then be assigned to a field unit to wait for advancement authority resulting from the SWE competition or supplemental advancement eligibility list.

22. Advancement While Serving as a Temporary Commissioned Officer.

- a. Commanding Officer Recommendations. Commanding officers may submit recommendations to Commander (CG PSC-EPM) for advancement to pay grade E-6 for temporary commissioned officers whose permanent enlisted status is pay grade E-5, if they meet the applicable eligibility requirements of Article 3.A.5. of this Manual.
- b. Temporary Commissioned Officers. Temporary commissioned officers are not eligible for advancement to pay grades E-7, E-8, or E-9.

- c. Officer Candidates who accessed from an enlisted status are eligible to advance off of a current SWE advancement eligibility list while attending OCS, provided the advancement occurs prior to appointment as a commissioned officer.

23. Effective Date of Advancement.

- a. General. All advancements will be effective on the 1st or 16th of the month, except in the following situations:
 - (1) Training Activities. Commanding officers of training activities, when effecting advancements in accordance with Article 3.A.21.a.(3) or Article 3.A.21.b. of this Manual, will make such advancements effective on the date of satisfactory completion of the prescribed service.
 - (2) Advancement to E-2 or E-3. Advancement to pay grade E-2 or E-3 may be effective on any date subsequent to the completion of the applicable requirements of Articles 3.A.5. and 3.A.15. of this Manual, as identified on a member's Career Development Worksheet (CG-2030). The effective date of advancement will be the date the commanding officer signs the Career Development Worksheet (CG-2030); or the date the member has met all eligibility requirements for advancement, whichever is later. The commanding officer may sign the Career Development Worksheet (CG-2030) no sooner than 30 days prior to the member meeting all eligibility requirements for advancement, understanding the member's date of advancement will be the date the member meets the eligibility requirements. This article does not apply to members covered under Article 3.A.21.b.(3). of this Manual.
 - (3) Class "A" Course Graduates Assigned a Designator. Graduates of a Class "A" course who was assigned a designator in accordance with Article 3.A.21.b. of this Manual and who meet the eligibility requirements of Article 3.A.5., as identified on a member's Career Development Worksheet (CG-2030), may be immediately advanced from pay grade E-3 to E-4. The effective date of advancement will be the date the commanding officer signs the Career Development Worksheet (CG-2030); or the date the member has met all eligibility requirements for advancement, whichever is later. The commanding officer may sign the Career Development Worksheet (CG-2030) no sooner than 30 days prior to the member meeting all eligibility requirements for advancement, understanding the member's date of advancement will be the date the member meets the eligibility requirements.
 - (4) Second Class Diver, Class "A" Course Graduates. Graduates of Second Class Diver, Class "A" Course, assigned a DV designator in accordance with Article 3.A.21. of this Manual and who meet the eligibility requirements of Article 3.A.5. may be immediately advanced from pay grade E-4 to E-5.

- b. Notification of Advancement. The official notification of eligibility for advancement will be announced by Commander (CG PSC) specifying the earliest date on which these advancements may be effected. Such advancements may be effected as of the date specified in the notification regardless of the date the notification was received.
- c. Retroactive Advancements. Commanding officers will not advance a member retroactively; advancements are considered retroactive after 30 days have elapsed since the effective date of advancement. In the event a member in paygrades E-1 to E-3, who was otherwise fully eligible for advancement in accordance with Article 3.A.5 of this Manual, was not advanced on the appropriate date due to a delay in processing a properly signed Career Development Worksheet (CG-2030), the member's commanding officer may submit a request to CG PSC-EPM to correct the date of advancement. The request must be submitted in memorandum format from the commanding officer, and include the reason for the delay and the steps taken to prevent future occurrences. A copy of the original Career Development Worksheet must accompany the request. Correction to an advancement date for members to pay grades E-5 and above will be reviewed on a case-by-case basis by CG PSC-EPM.

24. Designators.

- a. General. The assignment of designators provides a means to identify:
 - (1) Members serving in pay grade E-3 who graduated from formal Class "A" course training;
 - (2) Those rated members who successfully completed all requirements for an approved change of rating. Members assigned a designator will be assigned the duties of the rating for which designated.
 - (3) Those previously rated members who were discharged from the Coast Guard and reenter the Service as an E-2 or E-3 after being out for more than 24 hours.
- b. Assignment of Designators.
 - (1) E-2 and E-3 Upon Completion of a Class "A" Course. Members serving in pay grades E-2 and E-3 who successfully complete a Class "A" course will be assigned a designator per the following:
 - (a) Graduates of Training Centers. Commanding officers of training centers conducting basic petty officer training will assign designators to members serving in pay grades E-2 and E-3 who satisfactorily complete the prescribed course of instruction,
 - (b) Graduates of DoD School. Commanding officers of Coast Guard commands to which non-rated members are assigned for administrative purposes while attending a DOD school for basic petty officer training, will assign designators to such members upon satisfactory completion of the prescribed course of instruction, or

- (c) Prior Enlisted Petty Officers. Director, Coast Guard Recruiting Command, will assign designators to prior enlisted petty officers who were previously discharged and reenlisted as an E-2 or E-3 after an absence of more than 24 hours.
 - (2) Members on Established Eligibility Lists. Commanding Officer (CG PPC (ADV)) will assign appropriate designators to those E-3 members placed on a striker advancement list.
 - (3) Members Previously Reduced to Pay Grade E-1.
 - (a) Advancement after Reduction. Commander (CG PSC-EPM) may, upon individual application, authorize the assignment of an appropriate designator to members who formerly served in a petty officer grade or were formerly designated, but reduced to pay grade E-1, upon subsequent advancement to pay grade E-2 or E-3.
 - (b) Authority of Commandant (CG-1). Designators may also be assigned by special authority of the Commandant (CG-1).
- c. Removal of Designators.
 - (1) Removal for Incompetency. The procedures set forth in Article 3.A.31.c. of this Manual will be followed in those cases where it has been clearly demonstrated that a member is no longer qualified to perform the duties of the rating for which designated. Cases where removal of designator for incompetency is indicated will be referred to Commander (CG PSC-EPM).
 - (2) Removal for Disciplinary Reasons. Any member who is reduced in pay grade will retain their designator except when reduced to pay grade E-1.
 - (3) Removal for Other Reasons. All other cases involving removal of designators not specifically provided for herein will be referred to Commander (CG PSC-EPM) for action. This includes individual requests from non-rated designated members and from those former E-4 members who were voluntarily reduced to pay grade E-3 in accordance with Article 3.A.31.d. of this Manual.
 - (4) Personnel Data Record Entries. When removal of a designator has been authorized, make the appropriate Administrative Remarks, Form CG-3307, entry in the enlisted Personnel Data Record.
- d. Identification of Designated Members. When a designator is assigned, it will be used as an integral part of the member's rate wherever it appears; (e.g., SAYN, SNBM). Members serving in pay grades E-2 and E-3 will wear the marking of their designator as may be prescribed by current uniform regulations in Reference (p), Uniform Regulations, COMDTINST M1020.6 (series).

25. Authority for Change in Rating.

- a. Members Undergoing Training Commands listed in Article 3.A.21.a.(3) of this Manual are authorized to:
 - (1) Change the rating of each graduate in pay grade E-4 or E-5 who is attending a basic petty officer course to pay grade E-4 in the appropriate rating unless specifically exempted by orders or current directives.
 - (2) Change to appropriate rating, with no change in pay grade, those petty officers who are attending advanced training for the purpose of change in rating.
- b. Members in Pay grade E-2 and E-3.
 - (1) Commander (CG PSC). Commander (CG PSC) may authorize direct change in apprenticeship rates based on the needs of the Service.
 - (2) District Commanders and Commanding Officers of Headquarters Units. District commanders and commanding officers of Headquarters units may authorize, without Reference to Commandant (CG-1), changes in rate in pay grades E-3 and below. District commanders may delegate authority to commanding officers of units under their command to authorize and effect changes in rate in pay grades E3 and below. Such delegation will be in writing. Members serving in pay grades E-2 and E-3 desiring a change in rate may make a letter application to their commanding officer for the same. Provided the member meets the eligibility requirements by completion of applicable correspondence course and performance qualifications for the new rate, the commanding officer may approve the request.
- c. Pay Grade E-4 and Above. Commander (CG PSC) will authorize district commanders and commanding officers of Headquarters units to direct or effect changes in rating of members in pay grades E-4 through E-6 from eligibility lists in the same manner as outlined in Article 3.A.21. of this Manual.

26. Eligibility List for Advancement or Change in Rating to Pay Grades E-4 through E-9.

- a. Preparation of the Eligibility List. After the SWEs have been scored, Commanding Officer (CG PPC) will prepare the advancement eligibility lists for approval by Commander (CG PSC). The lists will be distributed by Commander (CG PSC (EPM)) via the Gold Badge network and posted on PPC's website.
- b. Cutoff Points. Cutoff points for advancement are established for each rating and rate based upon vacancies anticipated during a specific period of eligibility. Commander (CG PSC) announces cutoff points separately by ALCGENL message and are reviewed quarterly. The message provides the cut number (advance sequence) and the name of the person at the

cutoff position for the respective rate. Only those members whose name appears above the cutoff and not a High Year Tenure (HYT) candidate are guaranteed advancement, if otherwise eligible.

- c. **Effective Period of Eligibility List.** The effective period of the advancement eligibility list will be identified in the list. Normally, each list will remain in effect until superseded by a new eligibility list resulting from a subsequent SWE competition. When the new list is published, all eligible members who were above the cutoff on the superseded list and have not yet advanced will be carried over to the top of the new list in their respective rates. If no competition was conducted in a particular rate, the old list will be reprinted.
- d. **Supplemental Changes to Eligibility List.** Commander (CG PSC) will direct publication of supplemental changes to the eligibility lists when necessary to insert candidates whose regular or substitute examination were received too late for computer scoring.
- e. **Advancement Announcement.** Members placed on the eligibility lists will be advanced or have their rating changed as indicated by Commander (CG PSC) in an advancement announcement.
- f. **Removal from Eligibility List.** A member's name may be removed by Commander (CG PSC) as a result of disciplinary action, or for other good and sufficient reasons, whereby the member is no longer considered qualified for the advancement for which previously recommended. Commanding officers will withhold any advancement under such circumstances and advise Commander (CG PSC), info Commanding Officer (PPC (ADV)), of their intentions relative to removal from the list. A commanding officer may also direct that the member not be removed from an eligibility list but that advancement is being withheld for a definite period in accordance with Article 3.A.20. of this Manual. Members whose names are removed from an eligibility list must be recommended and qualify again through a subsequent SWE competition.
- g. **Members Selected for Appointment to Chief Warrant Officer.** Names of members selected for appointment to chief warrant officer, above the cutoff, will be removed automatically from existing enlisted advancement eligibility lists 60 days after announcement of selection for appointment to chief warrant officer status, unless the member concerned has notified Commander (CG PSC-EPM) for active duty members, or (CG PSC-RPM) for reservists that they do not intend to accept the chief warrant officer appointment.
- h. **Advancement of Active Duty RELADS.**
 - (1) Members whose names appeared on the active duty SWE eligibility list for advancement to E-5 or E-6 within one year of separation from active duty, but were not advanced for any reason other than disciplinary, may be advanced to E-5 or E-6 without competing in the RSWE if:

- (a) The commanding officer or officer-in-charge recommends their advancement within one year of separation from active duty;
 - (b) The candidate's advancement multiple was at least as high as the lowest multiple used in advancing a reservist on the same exam; and
 - (c) There are existing vacancies within the rate for which advancement is requested.
- (2) Recommendations for advancement to pay grades E-7, E-8, or E-9 under this Section will not normally be approved unless there is a severe shortage in the requested rate in the Coast Guard Reserve.
- (3) Members in this category must meet all other eligibility requirements prior to being advanced.
- (4) Recommendations must be sent to Commanding Officer (CG PPC (ADV)) and Commander (CG PSC-RPM), and must state on which advancement list (the one in effect, or the one which will go into effect the following 1 January) the member requests placement. The notification must contain the member's final multiple from the last active duty SWE. Commanding Officer (CG PPC (ADV)) must determine the member's reconstructed placement on the appropriate RSWE eligibility list, and provide a response within five working days.
- (5) Members eligible for advancement under this Paragraph must be advanced on the day specified.
27. Commanding Officer's Action on Receipt of Eligibility Lists. Commanding officers will take appropriate steps to identify members under their command who appear on the advancement eligibility lists when published by Commander (CG PSC-EPM). The following actions will be initiated without further guidance from higher authority:
- a. Assign designators to all non-rated members above the cutoff who are eligible for advancement to pay grade E-4. Make appropriate entries in Direct Access.
 - b. Assign designators to all petty officers above the cutoff who are selected for a lateral change in rating. Make appropriate entries in Direct Access.
28. Advancement After Reduction.
- a. Advancement for Prior Coast Guard Active Duty and Reserve Members. Prior Coast Guard active duty and reserve petty officers, regardless of completion of a Class "A" course on prior enlistment, who reenlist as a non-rate and desire to advance in their formerly held rating may submit a request to Commander (CG PSC-EPM) or (CG PSC-RPM) with copy to Commanding Officer (CG PPC) for advancement. This request will be submitted upon completion of six months active duty on current enlistment provided the member meets the

eligibility requirements of Article 3.A.5. of this Manual and is recommended by their commanding officer. These members will be placed on the Class "A" course list of their formerly held rating for tracking purposes. When their name is reached, together with those selected to attend "A" school, Commander (CG PSC-EPM) or (CG PSC-RPM) will authorize advancement.

b. After Reduction as Punishment.

- (1) Advancement after Reduction. Members who have been reduced in rate, except those who fall within the provisions of Articles 15(d) and 15(e) of the Uniform Code of Military Justice, are subject to the normal advancement system, unless they are considered by their commanding officers to be deserving of special advancement.
- (2) Recommendation for Restoration/Advancement. Commanding officers who consider enlisted members to be deserving of restoration to a formerly held rate, or deserving of advancement, but to a rate lower than formerly held, may recommend such restoration or advancement by letter to Commander (CG PSC-EPM) or (CG PSC-RPM). In making such a recommendation, the present commanding officer will set forth in detail a full justification of the action recommended based on at least five, but not more than 36, months observation of performance of duty by the member concerned since reduction in rate. The observation time need not be totally at the present unit, but must take place within the same period of enlistment. Enlisted members E-7 and above, who have been reduced to E-5 or below, may be recommended for restoration of rate up to and including E-6. However, in order for enlisted members to be advanced to E-7 or above, they must re compete in a SWE only after meeting the eligibility requirements of Articles 3.A.5. and 3.A.6. of this Manual.
- (3) Advancement after Reduction of One Pay Grade. Members reduced in rate to E-1 are eligible for advancement to E-2 upon completion of confinement, or if no confinement is involved, when considered by their commanding officer to be deserving of advancement. This also applies to members reduced from E-3 to E-2.
- (4) Advancement after Reduction of Two Pay Grades. Members reduced from E-3 to E-1 may be advanced to E-2 in accordance with Article 3.A.28.b.(3) of this Manual and must serve six months in pay grade E-2 before advancement to E-3.
- (5) Restoration/Advancement of Class "A" Course Graduates. Members reduced to E-3 who are Class "A" Course graduates will be recommended for restoration in accordance with Article 3.A.28.b.(2) of this Manual. It is not necessary for such members to compete in the SWE competition for advancement to E-4.

c. After Reduction for Incompetence. When the reduction was made for incompetency vice reduction as punishment, the member may be recommended to compete in a SWE

competition, if required, after meeting the service requirements for one-half the normal period.

- d. After Voluntary Reduction. Voluntary reduction in rate is usually made so the member concerned may gain a specific goal, such as an assignment to a particular course, and are governed by Article 3.A.31.d. of this Manual. Members in pay grades E-4 or above attending Class "A" or "C" schools for the purpose of a change in rating who fail to complete the course of instruction because of lack of interest, application, or ability will be disenrolled from the course and reassigned commensurate with the duties of their present rate. Those who formerly held pay grade E-6 and were reduced in order to attend a Class "A" course may be restored to their former pay grade provided their disenrollment was not due to lack of interest or application. Other cases of voluntary reduction which appear deserving of restoration may be referred to Commander (CG PSC-EPM) or (CG PSC-RPM) for final decision.

29. Personnel Data Record Entries. At the time of advancement or change in rating affected by the monthly advancement authorization, make the appropriate Personnel Data Record entries.

30. Master, Senior, Chief, and Petty Officer Certificates.

- a. Procedures. The following advancement certificates will be issued to Coast Guard members upon receipt of proper advancement authority:
 - (1) Petty Officer Advancement Certificate, DD-216 CG
 - (2) Chief Petty Officer Advancement Certificate, DD-216 CG
 - (3) Senior Chief Petty Officer Advancement Certificate, DD-216 CG-1.
 - (4) Master Chief Petty Officer Advancement Certificate, DD-216 CG-2.
 - (5) Master Chief Petty Officer of the Coast Guard Advancement Certificate, DD-216 CG-3.
- b. Procuring Petty Officer Advancement Certificates. Petty officer advancement certificates will be procured through the Coast Guard supply system. A sufficient quantity of advancement certificates will be maintained for all members being advanced to E-4, E-5, and E-6.
- c. Issuing Petty Officer Advancement Certificates. Commanding officers will issue advancement certificates to members E-4 through E-6 when each monthly advancement announcement is published.
- d. Chief Petty Officer Advancement Certificates. Commanding Officer (CG PPC (ADV)) will issue chief petty officer certificates when each monthly advancement announcement is published. The advancement certificates will be forwarded for presentation to the member

and will bear the Master Chief Petty Officer of the Coast Guard's signature in the lower left hand corner and the Commandant's signature in the lower right hand corner.

- e. Advancement Certificate after Reduction. When issued, the advancement certificate becomes the personal property of the recipient and will not be recalled. It holds no further force if a reduction is affected in accordance with existing instructions. In the event of subsequent advancement after reduction, a new certificate reflecting the new date of rank will be issued.
- f. Disposition of Petty Officer Certificates. Certificates received for members who are no longer attached will be handled in the following manner:
 - (1) Transferred. Certificate will be forwarded to the new unit.
 - (2) Discharged Prior to the Effective Date of Appointment. Certificate will be returned to issuing office with an explanation.
 - (3) Transferred to Reserve. Certificate will be forwarded to the member's new unit.

31. Reduction in Rate.

- a. General Provisions. Reasons for Reduction in Permanent Rate. Reduction in a permanent rate may result from any one of five reasons:
 - (1) Punishment in accordance with Uniform Code of Military Justice,
 - (2) Incompetency,
 - (3) Request of the member,
 - (4) Erroneous advancement, or
 - (5) Fraudulent advancement.
- b. Reduction in Rate as a Punishment.
 - (1) Reduction by Reason of Courts-Martial. Any enlisted member may be reduced in pay grade by sentence of courts-martial in accordance with the provisions of the Uniform Code of Military Justice as set forth in the Manual for Courts-Martial, 2012. Refer to Reference (n), Military Justice Manual, COMDTINST M5810.1 (series).
 - (2) Reduction by Reason of NJP. Under the authority of Article 15 of the Uniform Code of Military Justice, a commanding officer may reduce an enlisted member in pay grades E-2 through E-6 to the next inferior pay grade as a result of NJP if the member concerned was previously advanced or promoted to the pay grade from which demoted by the commanding officer concerned or by an equivalent or lower command. Commanding

officers of all commands in the Coast Guard have equivalent authority to effect the authorized advancement of enlisted members and will exercise promotion authority within the meaning of Article 15(b)(2)(D), Uniform Code of Military Justice. Accordingly, commanding officers who have authority to impose NJP under the provision of Article 15 may reduce an enlisted member, except a chief petty officer under their command, to the next inferior pay grade for disciplinary purposes.

c. Reduction for Incompetence.

(1) Governing Conditions. In effecting a reduction in rate for incompetence, these conditions will govern:

(a) Based Solely on Incompetence. The reason for the reduction must be based solely on incompetence as evidenced by the fact that the member is not qualified to perform the duties of their rate.

(b) Required Documentation When Factor Average is Below Two or Competency is Questionable. If a member has a factor average of two or below in any factor on any EER, or at any time, in the commanding officer's judgment, the member's competency is questionable, the commanding officer will make an Administrative Remarks, Form CG-3307, entry in the Personnel Data Record stating that the member is a candidate for reduction in rate by reason of incompetence and the following three-month period (six months for members of the SELRES during which time they must complete a minimum of 24 IDT drills) will constitute a formal evaluation of their competency. The entry will clearly identify the factor(s) involved and the exact area(s) that need improvement. The member will acknowledge this entry by signing the Administrative Remarks, Form CG-3307, entry. A reevaluation EER will be performed at the end of the three month period (six months for SELRES members) with a comment made in the recommendation field of the EER indicating progress (or lack of) during the three-month period with one of the following outcomes:

[1] If the member responds to counseling and improves their evaluation(s), no further action is required.

[2] If the member fails to demonstrate the required level of professional competency at the end of the three-month period (six months for SELRES members), the reduction will go into effect or be recommended to higher authority as befits the member's rate in accordance with Reference (c), Military Separations, COMDTINST M1000.4 (series)).

[3] If the member's factor averages meet the minimum requirements to eliminate the need for reduction of the member by reason of incompetence at the end of the three-month period (six months for SELRES members), but still falls short of the

minimum requirements for reenlistment eligibility, the provisions of Reference (c), Military Separations, COMDTINST M1000.4 (series), may apply.

Note: In all cases where a reevaluation EER has been performed, the next regularly scheduled evaluation will be performed at the prescribed date.

- (c) No enlisted member will be reduced more than one pay grade at a time by reason of incompetency, nor will any enlisted member be reduced for incompetency more than once within a three month period (six months for SELRES members).
- (2) Command Authority for Reduction Due to Incompetency. Action toward reduction for incompetence may be taken as indicated by the following commands:
- (a) Reduction of Enlisted Member in Pay Grades E-7 through E-9. Only the Commandant may reduce a chief petty officer, senior chief petty officer or master chief petty officer in rate for incompetence and then only if a fact finding board finds the member unqualified. Boards for this purpose are administrative in nature and will follow the procedures provided in Reference (q), Administrative Investigations Manual, COMDTINST M5830.1 (series), with composition, rights of the party, and procedures as required for a formal investigation. The board for CPO competency will be forwarded via the member's commanding officer, district commander, or commanders of logistics/service centers to Commander (CG PSC-EPM) or (CG PSC-RPM).
 - (b) Reduction of Enlisted Member in Pay Grades E-2 through E-6. Area commanders, commanders of logistics/service centers, or district commanders may authorize reduction in rate for incompetence of any enlisted member in pay grades E-2 through E-6.
 - (c) Reduction of Enlisted Member in Pay Grades E-2 through E-5. A commanding officer in the grade of lieutenant commander and above may authorize and effect a reduction in rate for incompetence of any enlisted member in pay grades E-2 through E-5 in their command.
 - (d) Commanding Officer Lacks Authority. When a commanding officer who does not have authority to authorize the reduction considers a member in their command to be incompetent, the commanding officer will comply with the procedures of this Article and then forward a complete report, board of investigation in the case of a CPO, and a recommendation via the chain of command to the superior having the necessary authority. In each case, the member will be informed, in writing, that a recommendation for reduction in rate is being submitted and be afforded an opportunity to make a statement in writing. If the member does not desire to make a statement, such fact will be set forth in writing over the member's signature. If the

member refuses to sign a statement, the member's commanding officer will so state in writing.

Note: If a reduction for incompetence was made other than in conformity with this Article, the next superior in command will investigate the circumstances and take corrective action, if necessary.

d. Reduction in Rate upon Request of the Member.

(1) Enlisted Member in Pay Grades E-7 through E-9. A request from a chief petty officer, senior chief petty officer or master chief petty officer for voluntary reduction in rate will be submitted to Commander (CG PSC-EPM) or (CG PSC-RPM) for action.

(2) Enlisted Member in First Six Pay Grades. A commanding officer may authorize and effect a reduction in rate of any enlisted member in their command in the first six pay grades (E-1 through E-6) at the member's own written request. The request with reason therefore will be forwarded to Commander (CG PSC-EPM) or (CG PSC-RPM) with the action taken noted thereon. Due to the training investment involved, it will not normally be the practice to remove the designator in the case of reduction from E-4 to E-3. If the particular circumstances in a given case warrant removal of designator, such recommendation will be referred to Commander (CG PSC-EPM) or (CG PSC-RPM) in accordance with Article 3.A.24.c. of this Manual.

(3) First Class Petty Officer Who Requests Assignment to Basic Petty Officer Course. A petty officer first class, who requests assignment to a basic petty officer course and receives orders to it, will be reduced to pay grade E-5 prior to departing present unit.

e. Erroneous Advancement. If an enlisted member is advanced in error due to no fault of their own and solely as a result of administrative error, the member will be reduced to the correct rate on the date the erroneous advancement is noted. In such cases, time in grade in present rating will be computed from the date originally advanced to the correct rate. The member will be required to repay any overpayments caused by this erroneous advancement, however, the member may apply for a remission of the indebtedness or a waiver of collection of the erroneous payment per Reference (m), Coast Guard Pay Manual, COMDTINST M7220.29 (series), and Reference (h), Personnel Pay and Procedures Manual, PPCINST M1000.2 (series), if the following conditions are met:

(1) The advancement must have been due to an administrative error,

(2) The advancement must have been executed by a competent authority,

(3) The member must have performed the duties of the higher grade to which erroneously advanced, and

- (4) The member must show they could not reasonably have been expected to know they were being overpaid.
- f. **Fraudulent Advancement.** A fraudulent advancement is defined as any advancement wherein any misrepresentation, omission, or concealment of information which, if known at the time, would have resulted in the member being ineligible to advance. Examples of a fraudulent advancement include:
- (1) A BMC is advanced AFTER their officer-in-charge (OIC) qualification is rescinded despite the member having knowledge that the OIC qualification is required for advancement.
 - (2) A member is advanced AFTER failing to report their arrest for driving under the influence as required by Reference (r), Discipline and Conduct, COMDTINST M1600.2 (series), which would have rendered the member ineligible to participate in the SWE or be advanced.
- g. **Effective Date of Reduction in Rate.**
- (1) **Reduction in Rate Due to Punishment.** Reduction in rate as a punishment will be effective as specified in the Manual for Courts-Martial, 1998 and Reference (n), Military Justice Manual, COMDTINST M5810.1 (series).
 - (2) **Reduction in Rate Due to Incompetency.** The effective date of a reduction in rate for incompetency or at the request of the member concerned will be as follows:
 - (a) **By Authority of Commander (CG PSC).** When Commander (CG PSC), commanders of logistics/service center, or district commander authorizes a reduction in rate, the reduction will be effective on the date of the authorizing official's decision.
 - (b) **By Authority of the Commanding Officer.** When the commanding officer, acting within their own authority, authorizes a reduction in rate, the reduction will be effective immediately.
 - (3) **Reduction by Reason of Fraudulent Advancement.** When a fraudulent advancement is proven, the effective date of reduction is the date of the original advancement and the difference in pay and allowances will be recouped.
- h. **Personnel Data Record Entries on Reduction in Rate.** When a member has been reduced in pay grade by reason of incompetency, own request, or punishment, an Administrative Remarks, Form CG-3307, entry will be made to document the reduction and filed in the member's Personnel Data Record.

32. Frocking of Enlisted Members.

- a. Commandant Authority. Under the authority of Section 632, Title 14, U. S. Code, the Commandant has the authority to frock Coast Guard enlisted members. Enlisted members above the cutoff on the current advancement eligibility list may be considered for frocking when:
 - (1) The higher rate is necessary to clearly establish the member's position when reporting to another agency/service for duty,
 - (2) The higher rate is necessary to ensure the member would be assigned government quarters commensurate with the rate in which serving,
 - (3) In selected instances in which the higher rate is a significant factor in establishing the member's stature, thereby enhancing their ability to carry out their duties successfully, or
 - (4) For the purpose of attending Patrol Forces Southwest Asia (PATFORSWA) pre-deployment training or the Chief Petty Officer Academy (CPOA), when in receipt of orders to a position for which the member would otherwise be frocked.
- b. Request Submission. Requests to frock enlisted members, other than enlisted members ordered to fill the officers in charge positions and enlisted members selected for appointment to warrant officer, who meet any of the requirements in Article 3.A.32.a. of this Manual will be considered on a case-by-case basis. Commanding officers may request authority from Commander (CG PSC-EPM) or (CG PSC-RPM) to frock enlisted members by submitting their request via their normal chain of command.
- c. Authorization. Authorization to frock enlisted members ordered to fill OIC positions, whose names appear above the cutoff on the current advancement eligibility list, will be given automatically in the member's official transfer orders issued by Commander (CG PSCEPM) or (CG PSC-RPM). An approved frocking will generally be effective upon detachment from a member's current assignment.
- d. Authorization to frock enlisted members to Chief Warrant Officer has moved to Appointing Warrant Officers, COMDTINST M1420.1 (series).
- e. Entitlements. The following are authorized upon approval of request for frocking:
 - (1) Insignia. Frocked members are authorized to assume the title and wear the insignia of the rate to which frocked.
 - (2) Housing. Frocked members are entitled to housing commensurate with the rate to which frocked.

- (3) Armed Forces Identification Card. A new Armed Forces Identification Card, DD Form 2 CG, will be issued to reflect the higher rate.
- (4) Pay, Allowances, and Travel Entitlements. Pay, allowances, and travel entitlements will continue to accrue at the lower permanent rate/pay grade. Pay and allowances of the higher rate/pay grade will accrue from the effective date of actual advancement as listed in the CG PSC advancement announcement.
- (5) Performance Evaluations. Enlisted performance evaluation forms will continue to be submitted in the lower permanent rate as outlined in Chapter 4 of this Manual.
- (6) Authorities of Frocked Pay Grade. Frocking does not authorize increased disciplinary powers under Article 15, UCMJ.
- (7) Time in Grade. Time in grade computation for retirement and advancement is computed from the date of actual advancement, not the date frocked.

33. Frocking Enlisted Members to Chief Warrant Officer. Policy and Standards for frocking Enlisted Members to Chief Warrant Officer has moved to Appointing Warrant Officers, COMDTINST M1420.1 (series).

B. Administering Servicewide Examinations.

1. Candidates in Transit on Examination Date.

- a. General. Preferably every candidate who is fully qualified and recommended should be examined by their regularly assigned examining board. Requests may be submitted to Commanding Officer (CG PPC (ADV)) for personnel in transit (PCS, TDY or on leave) on the normal SWE date to have their SWE administered by someone other than their normal SWE Officer. Members in transit must pay for any travel expense necessary to arrive at the SWE administration location. The government will not reimburse members for these expenses.
- b. Changing Exam Board OPFAC. If personnel will be in transit (PCS, TDY or on leave) on the scheduled SWE date, contact Commanding Officer (CG PPC (ADV)) prior to the PDE correction deadline date to make arrangements for testing in another location. Members in transit must pay for any travel expenses necessary to arrive at the SWE administration location and will not be reimbursed.

2. Substitute Examinations.

- a. General. The advancement system is designed so that members will participate on an equal basis. Substitute SWEs can be a source of inequities to candidates. Since the SWE given on the scheduled date cannot be given as a substitute SWE, the candidate will take a different

version of the exam. Although substitute SWEs are closely related, they are not identical and are therefore discouraged.

- b. **Criteria for Substitute SWEs.** To be eligible for a substitute SWE, a member must have been fully qualified for the normal SWE by SED listed in Article 3.A.3.c. of this Manual. Each member is responsible for meeting qualifications before the deadline. If a member meets the qualifications before the established deadline and through administrative error does not receive an examination, the member may be allowed to take a substitute SWE. Commanding officers must justify each request for a substitute SWE using the following criteria:

- (1) **Recommended for Participation.** The candidate must have been recommended for participation in the regularly scheduled examination.

- (2) **No-Fault Absence.** The candidate's absence from the regularly scheduled examination must have been through no fault of their own and due to:

- (a) **Emergency Leave.** Emergency leave where the situation precludes the candidate from participating (e.g., location, emotional state).

- (b) **Illness or Hospitalization.** Illness or hospitalization verified by a medical officer's statement that participation in the examination would be harmful to the candidate's health or performance.

- (c) **Operational Commitment.** Operational commitments of such nature that delaying administration of the regularly scheduled SWE was not feasible. See Article 3.B.5. of this Manual for further guidance on deviating from the scheduled administration date.

- (d) **Victims of Sexual Assault.** Where assault occurred during the current SWE cycle between the SWE eligibility date and the SWE exam date.

- (e) **Circumstances beyond the member's control.** Considered by Commanding Officer (CG PPC (ADV)) on a case-by-case basis.

- c. **Ordering Substitute SWEs.** Requests for substitute SWEs should be made within one week of the scheduled SWE date and will be requested via email to Commanding Officer (CG PPC (ADV)) following the procedures in the Servicewide Examination (SWE) Guide located on the CG Portal. Administer all substitute SWE's on the date pre-approved by PPC(ADV) and return them as soon as possible but no later than thirty days after the regularly scheduled SWE date. When operational commitments do not allow administering the substitute exam on the the pre-approved date, the unit will request an alternate date from PPC(ADV).

3. Receipt, Handling, and Accountability of Examinations.

- a. **General.** Commanding Officers are ultimately responsible for receipt, stowage and security of SWE booklets and their contents. They must maintain SWE integrity to ensure equitable

advancement opportunity. All echelons of the command must be constantly alert to prevent any unauthorized disclosure of the contents of the Servicewide examinations. Commands are also enjoined to continually review local examination custody procedures in order to ensure strict security and accountability of examinations. Examinations must at all times be in the custody of a commissioned officer or designed SWE Officer. Relief of accountability will be established when all examinations have been either forwarded to another examining board for administration or returned to Commanding Officer (CG PPC (ADV)).

- b. Stowage of Examinations. The greatest care must be taken in stowing examinations. Some examinations are classified CONFIDENTIAL, based on the contents. Although not classified, all other examinations are FOR OFFICIAL USE ONLY and must be handled accordingly.
- c. Minimum Requirements for Secure Stowage. The following minimum procedures must be observed in the stowage of SWE:
 - (1) Examinations and related material must be in the direct custody of a commissioned officer and/or the SWE Officer at all times, both prior to and after administration.
 - (2) Examinations, completed answer sheets, and scratch paper used during administration of the examination must be stowed in a safe, vault, or other securely locked space fastened with a three-combination lock, accessible only to a commissioned officer.
 - (3) The contents of an examination must not be available to anyone other than a commissioned officer and/or the designated SWE officer(s) at any time, except during administration and then only to those members authorized to participate.
 - (4) Reproduction or retention of any part of a SWE in any form, except by Commanding Officer (CG PPC), is forbidden.
- d. Report of Loss or Compromise of Examinations.
 - (1) Reporting Requirements. In any case where the loss or compromise of a SWE is discovered or circumstances indicate a possible loss or compromise, immediately notify Commanding Officer (CG PPC (ADV)) who will determine if a compromise exists. If a compromise is determined, an investigation must be convened as required by Article 3.B.3.d.(2) of this Manual.
 - (2) Convening an Investigation. If all facts are not readily available, the commanding officer should convene an investigation in accordance with Reference (q), Administrative Investigations Manual, COMDTINST M5830.1 (series). The record of proceedings in the investigation will be forwarded in accordance with Reference (q), Administrative Investigations Manual, COMDTINST M5830.1 (series), with advance copies submitted

to Commanding Officer (CG PPC (ADV)) and Commander (CG PSC-EPM-1) in amplification of the report required above.

4. Local Examining Boards. To ensure that candidates for advancement or change in rating are examined on an equitable basis, the procedures herein will be followed for the establishment of local examining boards.
 - a. Establishment.
 - (1) Local examining boards will be designated for each unit. Commanding officers may establish their own boards or may join with other commanding officers to establish a single local board. The head of the examining board will be either a commissioned officer, a master chief petty officer serving as an officer-in-charge, or a civilian GS9 or above. Units with officer-in-charge below the grade of E-9 must make arrangements for other units to receive their SWEs.
 - (2) If additional members are needed to assist in monitoring the SWE, members in the grade of E-6 or above or GS5 or above may be used. Monitors may not proctor exams or have access to SWE booklet content. Active duty members may only act as monitors during exams for ranks equal to or below their current pay grade. This assignment should be made at least 45 days before the scheduled examination date.
 - b. Duties of Examining Boards Examining boards are responsible for the following:
 - (1) Receipt, administration, and disposition of examinations in accordance with instructions in this Section and instructions provided by Commanding Officer (CG PPC (ADV)) with each shipment of examinations.
 - (2) Communicate directly with Commanding Officer (CG PPC (ADV)) on matters related to administration of examinations to achieve maximum efficiency and avoid delay.
 - (3) Respond to members in the field with questions concerning the SWE.
 - (4) The senior member of the examining board will conduct a meeting of the board approximately one month before the scheduled date of the examination to review all directives on the advancement system and explain any new procedures in the system.
 - (5) Notify Commanding Officer (CG PPC (ADV)) via e-mail if SWEs are not received at least ten days before the scheduled date of examination.
5. Scheduling Examinations.
 - a. Semiannual Schedule of Examinations. Examinations for advancement or change in rating will be administered in May and November for active duty members and October for reserve members, of each year in accordance with the schedule contained in Article 3.A.3. of this

Manual. When necessary, deviations from this schedule will be announced in a CG PSC ALCGENL or ALCGRSV message before the examination period. Wherever possible, commands should revise watch lists, special duty assignment, etc., to prevent candidates from being penalized by lack of sleep, late reporting, etc., and to eliminate the need for substitute examinations.

- b. Administration Day. Examinations will normally be administered by pay grade on the first Tuesday (E-5 AM and E-7 PM) and the following Thursday (E-6 AM and E-8/E-9 PM) in May, and the first Thursday in November for active duty members, and the forth Saturday in October for reserve members.
- c. Deviation from Scheduled Administration Date. Examinations will not be administered prior to the scheduled date. Commanding officers of vessels underway on the scheduled examination date may delay examinations up to ten days subsequent to the scheduled date. Commanding Officers exercising this option must ensure exam takers have not communicated with members who have already taken the examination(s). Examinations may not be delayed more than ten days from the scheduled date unless specifically authorized by Commanding Officer (CG PPC (ADV)).
- d. Recommended Time Schedule for Administration. The exact time schedule is left to the discretion of the commanding officer. However, the time limits prescribed for the examinations will not be exceeded and no break will be allowed. Care should be taken that nearby units do not conduct examinations at such time that compromise is possible. The following schedule will apply unless deviation is considered necessary:

0800	Candidates with ID cards and proctors muster.
0810	Distribution of sealed examination envelopes and all other material required for administration.
0820	Reading of "Verbatim Instructions to Candidates" provided with the examination, and filling in of required information, if needed.
0830	Commence examination. TIME LIMIT: THREE-AND-ONE HALF (3½) HOURS.

6. Administration of Examinations. Administration of SWE, including substitute SWE, will be in accordance with the SWE Officer Handbook published by Commanding Officer (CG PPC (ADV)) which is available on their website.
7. SWE Profile Letters. Direct Access will generate a profile letter for each candidate who participated in the SWE. The purpose of the letter is to inform the candidate of their strengths and weaknesses and to report their standing both on the examination competition and on the eligibility list. The text of the letter will supply the following information:
 - a. Candidate's numerical standing on the written examination in relation to the total number of candidates.

- b. Candidate's final multiple standing on the eligibility list.
- c. Candidate's performance in the total examination, by percentage.

Note: Profile letters will not be prepared for candidates who took the examination and are advanced or above the cut on the previous list.

C. Striker Program.

1. Discussion. A viable, effective advancement opportunity for non-rated members is available through the striker program. Strong command support and close attention to the administration of the striker program, within the constraints of on-the-job training opportunities existing at a particular unit, are considered leadership obligations for all supervisors. For specific information concerning individual ratings, members should contact the appropriate Rating Force Master Chief (RFMC). The striker program does not apply to reservists.
2. General.
 - a. Ratings Open to Striking. Ratings open to striking change based on Service need and will be announced by ALCOAST message as ratings are opened or closed for striking.
 - b. Eligibility Requirements. To be eligible for advancement under a striker program, a member must:
 - (1) Be serving in pay grade E-3;
 - (2) Meet the six month time in pay grade requirement;
 - (3) Successfully complete the appropriate Rating Performance Qualifications Standard (RPQs) and rating advancement test (RAT), as applicable;
 - (4) Successfully complete the Enlisted Professional Military Education (EPME) performance requirements along with the Advancement Qualification Exam (AQE);
 - (5) Have a current Enlisted Evaluation Report (EER) completed as an E-3;
 - (6) Have no unsatisfactory conduct mark, court-martial conviction, civil conviction, or non-judicial punishment for six months prior to being recommended for advancement and for the entire period between recommendation and advancement. The commanding officer or officer in charge will contact Commanding Officer (CG PPC (ADV)), copying Commander (CG PSC-EPM-1) or (CG PSC-EPM-2) as an information addressee to remove from the current striker advancement eligibility list any member who has received a court martial or civil conviction, non-judicial punishment, or unsatisfactory conduct mark after the member has been recommended for advancement, but has not yet been advanced.

3. Placement or Removal on a Striker Eligibility List.
 - a. Member Fully Qualified for Advancement to E-4. When a member is fully qualified for advancement to E-4 in one of the striker ratings, the commanding officer or officer-in-charge should submit a recommendation to Commanding Officer (CG PPC (ADV)), copying Commander (CG PSC-EPM-1) for placement on the appropriate striker advancement list. The request must contain the dates of completion for all eligibility requirements listed in Article 3.C.2. of this Manual.
 - b. Date of Placement on Respective Striker List. Members will be placed on a respective striker advancement list according to the date the recommendation is received by Commanding Officer (CG PPC (ADV)). A commanding officer or officer-in-charge may withhold or cancel a recommendation for advancement in accordance with Article 3.A.20.c. of this Manual.
 - c. Assignment of a Designator. Members placed on a striker advancement eligibility list will be assigned a designator by Commanding Officer (PPC (ADV)) in accordance with Article 3.A.24.b. of this Manual.
 - d. Updates to the Striker Advancement List. The striker advancement lists are updated each month by Commanding Officer (CG PPC (ADV)) and can be viewed on their website. Members are advanced from these lists to pay grade E-4 via monthly enlisted personnel advancement announcements to fill service-wide vacancies in each rating.

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Chapter 4 ENLISTED EVALUATION SYSTEM (EES)

A. Overview. This Chapter states policies and standards for conducting performance evaluations for Coast Guard enlisted personnel. All enlisted members will be afforded accurate, fair, objective, and timely evaluations. To this end, the Service has made enlisted performance criteria as objective as possible, within the scope of jobs and tasks enlisted members perform. In using the Enlisted Evaluation System, strict and conscientious adherence to the specific wording of the performance standards is essential to realizing the purpose of the enlisted evaluation system process.

1. Purpose. The Enlisted Evaluation System (EES) serves several specific purposes:
 - a. To set standards by which to evaluate the performance and behavior of all enlisted members.
 - b. To inform enlisted members of the performance standards they will be measured against.
 - c. To provide a means by which enlisted members can receive feedback on how well they are measuring up to the standards.
 - d. To capture a valid, reliable assessment of enlisted members' performance so the Coast Guard may advance and assign members with a high degree of confidence.
 - e. To provide the Coast Guard with a tool to support a wide variety of human resource decisions including discharges, reenlistments, conduct determination, advancement eligibility, assignments and reductions in rate.
 - f. To provide members' of boards and panels with the necessary information to make selections and decisions based on enlisted members observed performance and potential.
2. Applicability.
 - a. All active duty and reserve enlisted personnel in grades E-1 through E-9 must receive an Enlisted Evaluation Report.
 - b. Enlisted personnel who serve in the capacity of a temporary officer are evaluated as officers per the Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3 (series).
3. Definitions.
 - a. Enlisted Evaluation Management System (EEMS). The automated system, commonly referred to as Direct Access, which assists Commandant (CG-1) in

- monitoring EES performance, providing system feedback, and serving as the data base of official evaluations of each member.
- b. Enlisted Evaluation System (EES). The Coast Guard system that addresses the performance appraisal of its enlisted members.
 - c. Enlisted Evaluation Report (EER). The series of web pages contained in Direct Access used to report the performance of Coast Guard enlisted members. The EER contains performance standards and is a web-based application used to initiate, review, and transmit a member's completed EER.
 - d. Evaluatee. The enlisted member being evaluated.
 - e. Factor Types. There are four major categories of performance which are referred to as "factors":
 - (1) Military. Measures a member's ability to bring credit to the Coast Guard through personal demeanor and professional actions.
 - (2) Performance. Measures a member's willingness to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.
 - (3) Professional Qualities. Measures those qualities the Coast Guard values in its people.
 - (4) Leadership. Measures a member's ability to direct, guide, develop, influence, and support others performing work.
 - f. Competencies. The individual elements located under each factor type on which the Coast Guard evaluates its enlisted members.
 - g. Competency Definitions. The written criteria on the EER which defines each competency at each paygrade.
 - h. Performance Standards. The written criteria that outlines the expected performance to receive a mark of 2, 4, or 6 in each competency.
 - i. Enlisted Evaluation Report Form. Forms specific to each paygrade, CG-3788A-G. These forms are optional and may be used by units with limited or no access to Direct Access to include cutters away from homeport operating for extended periods without shoreside connectivity. The approving official will ensure any EER that is initiated using a form is properly entered into Direct Access at the first available opportunity. In cases where a unit does not have reliable connectivity, the form or the required entries of the evaluation may be transferred to the unit providing support (e.g. SPO, Admin Office, etc) for entry into Direct Access. The unit providing support provides

the approving official with a copy of the Member Counseling Receipt. This printed receipt serves as confirmation to the unit and service member that the Enlisted Evaluation Report Form was properly recorded into Direct Access.

- j. Performance Feedback. Formal or informal advice or observation from a rating official on a member's performance or any other matter on which they may be evaluated.
- k. Rating Officials. The designated members responsible for evaluating and helping to motivate the performance and behavior of the evaluatee. Commanding Officers must establish the rating chain in accordance with applicable policies, and must designate all rating officials in writing. This designation may be by individual or position, and may be designated in standard CG memo format or within a unit instruction.
- l. Supervisor. The supervisor will be an officer, civilian, or enlisted member.
 - (1) Military Supervisor. Must be at least one pay grade senior to the evaluatee except when the supervisor is designated as an executive petty officer (E-6 and above).
 - (2) Civilian Supervisor. If civilian, must be an official designated as the member's supervisor.

Note: If necessary, the marking official can fill the role of supervisor.

- m. Marking Official. An officer, civilian, chief petty officer, or first class petty officer. First class petty officers must be designated as an executive petty officer to act in this capacity and are not required to be one pay grade senior to the evaluatee.
- n. Approving Official. A Coast Guard officer, officer in charge (E-7 or above), or Coast Guard civilian who is the official supervisor of the marking official.

Note: If necessary, the approving official can fill the role of the marking official.
- o. Appeal Authority. Normally, the first flag officer in the evaluatee's chain of command. Appeal authority may not be delegated, and does not change if a commanding officer delegates the role of approving official.
- p. Regular Enlisted Evaluation Report. Any annual or semiannual evaluation report.
- q. Unscheduled Enlisted Evaluation Report. An enlisted evaluation report completed for any reason other than a regular enlisted evaluation report as prescribed in Article 4.C. of this Manual.

B. Roles and Responsibilities.

1. Commandant (CG-133). Commandant (CG-133) must perform the following functions:
 - a. Establish and maintain policy governing the EES.
 - b. Provide policy guidance to Commander (CG PSC).
2. Commander (CG PSC). Commander (CG PSC) has overall responsibilities for the EES and administrative servicing of EERs. Commander (CG PSC) must perform the following functions:
 - a. Procedures. Develop and maintain all forms and publish Coast Guard Enlisted Evaluation System Procedures, PSCINST M1611.2 (series) to implement the policies and standards of this Chapter.
 - b. Policy. Execute all EES policy and make policy recommendations to Commandant (CG-133).
 - c. Quality Assurance. Review and validate EERs for administrative and substantive errors.
 - (1) May return any EER and require correction to the appropriate member of the rating chain.
 - (2) Effect minor administrative corrections as directed by administrative adjudications or with consent of the rating chain.
 - (3) The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure EERs have been prepared in accordance with applicable policies and standards.
 - d. Grant or deny exceptions to policies and standards as permitted in this Chapter or otherwise promulgated by Commandant (CG-13).
 - e. Statistics. Conducts statistical analysis of service wide marking patterns to assist in system discipline.
3. The Unit. Commanding officers including area and district commanders, commanders of logistics/service centers, commanding officers of Headquarters units and subordinate units or organizations and cutters. Every unit must perform the following functions.
 - a. Execution of the EES. Ensure accurate, fair and objective evaluations are provided to all enlisted personnel under their command. Do so in accordance with Chapter 4 of this Manual and the procedures set forth in the Enlisted Evaluation System Procedures, PSCINST M1611.2 (series).

- b. Oversight. Ensure members of the rating chain carry out their EES responsibilities.
 - c. Rating Chain. Define the rating chain in accordance with the Enlisted Evaluation System Procedures, PSCINST M1611.2 (series).
 - d. Adherence to Schedule. Establish procedures that ensure timely submissions of the EER. Review the personnel roster through Direct Access to determine when evaluation reports are required per Article 4.C. of this Manual and determine the reason for evaluation report if the member is being evaluated for any reason other than a regularly scheduled annual or semiannual evaluation report.
 - e. Training. Encourage recurring training, for all members within their commands, on EES policies, standards, procedures, and performance standards.
 - f. Counseling. Ensure evaluation reports are completed, including the signed counseling sheet, not later than 21 days after the end of the evaluation report period ending date. If an evaluatee refuses to sign the counseling sheet, a unit representative should so state in the evaluatee's signature block and sign the statement prior to transmitting the completed EER to Commanding Officer (CG PPC). The unit provides the evaluatee the original counseling sheet.
4. The Evaluatee. The evaluatee and the rating chain are responsible for meeting all EES standards. The evaluatee must perform the following functions:
- a. Familiarization. Must become thoroughly familiar with the instructions, competencies, and standards of the EES and understand rating chain expectations.
 - b. Performance. Obtain sufficient feedback or counseling and using that information in adjusting, as necessary, to meet or exceed the standards.
 - c. Evaluation Input. Provide a list of significant accomplishments, if required by the rating chain, to the rating chain not later than 14 days prior to the end of the marking period.
 - d. Acknowledgement. Sign the member's signature block of the counseling sheet and retain this form as a receipt to indicate acknowledgment of:
 - (1) The counseling and review of their evaluation report;
 - (2) The impact of their evaluation report on their Good Conduct eligibility;
 - (3) The appeal time frame; and
 - (4) Their advancement potential and recommendation.

- e. Verification. Verifying through Direct Access self service that their EER was properly recorded.

5. The Rating Chain.

- a. General. The following standards and polices apply to the entire rating chain.
 - (1) Evaluators. The rating chain is comprised of designated members who execute the enlisted evaluation report process for enlisted members and are outlined in the Enlisted Evaluation System Procedures, PSCINST M1611.2(series). Waiver requests for exceptions to these designations will be addressed to CG PSC for determination.
 - (2) Performance Assessment. The rating chain assesses an enlisted member's performance and value to the Coast Guard through a system of multiple evaluators who present independent views and thus ensure accurate, prompt, and correct reporting. It reinforces decentralization by placing responsibilities for development and performance review at lower levels within the command structure. It ensures the evaluatee is evaluated on the required period ending date and the evaluation report is based on how the evaluatee performed in each competency consistently throughout the period, except for conduct, which must be adhered to every day of the period.
 - (3) Checks and Accountability. Responsibility for evaluating the performance of enlisted members is placed at several different levels. The evaluation report begins with the evaluatee's supervisor and is progressively reviewed and modified, as necessary, by higher supervisory levels until finally approved by the approving official. Through this process, the EES has a built-in check and accountability system to ensure supervisors are aware of the importance of evaluation reports and give them incentive to be totally objective and accurate. Each rating official will:
 - (a) Review and correct any inconsistencies found in evaluation reports when considering a member's performance compared to the written standards.
 - (b) Hold the next lower supervisory level accountable for their evaluation reports by observing the accuracy and quality of the evaluation reports they submit, and by reporting the same on their performance evaluation.
 - (4) Familiarization. The rating chain must become thoroughly familiar with the instructions, competencies, and standards of the EES.

- (5) Multiple Roles. There are times when a member of the rating chain fulfills two roles. Using the following guidance will assist in determining the proper course of action:
 - (a) Approving Official Supervises Member. If an evaluatee reports directly to the approving official and no one else supervises the member, such as at district, logistics/services center, CG PSC, or area independent staff components, liaison offices, detachments, etc., the approving official completes the entire evaluation report and any appropriate supporting remarks in accordance with Article 4.D.2. of this Manual.
 - (b) Flag Officer Supervises Member. If an evaluatee, such as a flag level command master chief, special command aide, etc., reports directly to a flag officer, the flag officer completes the entire evaluation report and any required supporting remarks in accordance with Article 4.D.2. of this Manual.
 - (6) Advancement System. The rating chain must be thoroughly familiar with the individual enlisted advancement requirements and qualifications.
 - (7) Accountability. The rating chain must be accountable to the unit for their EES responsibilities.
- b. The Supervisor.
- (1) Communication. Must clearly communicate goals and acceptable standards of performance to the evaluatee before and throughout the marking period.
 - (2) Advancement Status. Gathers all written and oral reports on the evaluatee's performance. Ascertains the status of the evaluatee's advancement requirements for next higher pay grade.
 - (3) Evaluatee Input. Establishes a method and expectations for the evaluatee to provide input on their performance.
 - (4) Submission Deadline. Routes the completed evaluation report to the marking official no later than nine days prior to the period ending date, including supporting comments for any recommended supporting remarks as required by Article 4.D.2. of this Manual.
 - (5) Counseling. Counsels the evaluatee on the evaluation report after the approving official's action. The importance of how effective this piece of the evaluation process can be in setting the evaluatee up for future success cannot be overemphasized. How well the supervisor clearly communicates the member's past performance and methods in which to improve are primary to ensuring future

success. The supervisor will provide the evaluatee with a printed counseling sheet and acknowledges receipt by obtaining their signature in accordance with Article 4.B.3.f. of this Manual.

c. The Marking Official.

- (1) Documentation. Gathers all written and oral reports on the evaluatee's performance
- (2) Reviews Recommended Marks. Discusses with the supervisor any recommendations considered inaccurate or inconsistent with the member's actual performance, paying special attention to the required supporting remarks in accordance with Article 4.D.2. of this Manual. The marking official has the authority to return the evaluation report to the supervisor for further justification or support for any marks.
- (3) Submission Deadline. Routes the completed evaluation report to the approving official not later than five days after the evaluation report period ending date.

d. The Approving Official.

- (1) Documentation. Gathers all written and oral reports on the evaluatee's performance.
- (2) Must ensure:
 - (a) Overall consistency between assigned marks and actual performance/behavior and output without using any type of forced distribution process. Evaluatees are counseled and advised of appeal procedures.
 - (b) Evaluation reports are submitted on time.
 - (c) The required supporting remarks are completed in accordance with Article 4.D.2. of this Manual.
 - (d) All reviews initiated using an Enlisted Evaluation Report Form are entered into Direct Access.
 - (e) Reviews the marking official's recommended marks and discusses any recommendations considered inaccurate or inconsistent with the evaluatee's actual performance, paying special attention to recommended marks of 1, 2, 3 or 7; the future potential block, a not ready and not recommended mark in the Recommendation for Advancement competency, or an unsatisfactory conduct mark. See Article 4.D. of this Manual for additional guidance. The approving official has the authority to return the evaluation report form to the marking

official to further justify or support any marks in accordance with Article 4.D.2. of this Manual.

- (f) The completed evaluation report is forwarded to the supervisor to counsel and inform the evaluatee.
- (g) The completed evaluation report, with supporting remarks (if applicable), are processed in sufficient time to permit them to be reviewed by the evaluatee through Direct Access self service not later than 30 days following the evaluation report period ending date.
- (h) Delegation. Approving official authority may not be delegated beyond what is established in the Enlisted Evaluation System Procedures, PSCINST M1611.2 (series).

C. Occasion for Reports.

1. Regular Enlisted Evaluation Reports.

- a. Submission Schedule. Regular Enlisted Evaluation Reports for active and reserve members are required to be submitted in the timeframe shown below. The months identified in the second column ensure all enlisted evaluation reports are submitted in sufficient time for processing and completing the final multiple for servicewide examinations (SWE).

PAY GRADE	END OF MARKING PERIOD LAST DAY OF:
E-1	January (all) & July (AD only)
E-2	January (all) & July (AD only)
E-3	February (all) & August (AD only)
E-4	March (all) & September (AD only)
E-5	April (all) & October (AD only)
E-6	May (all) & November (AD only)
E-7	September (all)
E-8	November (all)
E-9	June (all)

b. General Guidance.

- (1) **Unscheduled Enlisted Evaluation Report Coincides with End of Marking Period.**
If the rating chain must perform an unscheduled enlisted evaluation report on the same period ending date as the member's regular period ending date, enter as regular instead of the unscheduled reason. The only exception is when the

enlisted evaluation report is required for disciplinary reasons and therefore must be entered as disciplinary or relief for cause instead of regular.

- (2) Timeliness of Enlisted Evaluation Reports. Regular enlisted evaluation reports may not be delayed. The unit rating chain is responsible for ensuring complete reviews are acknowledged by the evaluatee and completed within Direct Access not later than 30 days after the enlisted evaluation report period ending date.
- (3) Circumstances which do not Require a Regular Enlisted Evaluation Report. Do not complete a regular enlisted evaluation report on a member until the next regular period ending date when:
 - (a) A regular or unscheduled enlisted evaluation report has been completed within 92 days for E-6 and below evaluation report, 184 days for E-7 and above evaluation reports, or 19 active or inactive duty periods for reservists before the end of a regular period ending date.
 - (b) An evaluatee has been assigned to a new duty station for fewer than 92 days for E-6 and below evaluation reports, 184 days for E-7 and above evaluation reports, or 19 active or inactive duty periods for reservists on a regular period ending date.
- (4) Circumstances Which do not Require An Enlisted Evaluation Report. Do not complete an enlisted evaluation report for any of the following circumstances:
 - (a) Upon discharge, reenlistment, release from active duty, or retirement.
 - (b) Evaluatee is undergoing Class "A" or "C" school, advanced or recruit training, or Coast Guard Academy Scholar Program training except in disciplinary situations described in Article 4.C.2.c. of this Manual.
 - (c) Evaluatee is in an unauthorized absence or desertion status on the regular period ending date.
 - (d) Evaluatee is granted leave awaiting appellate review of a court-martial.
 - (e) Evaluatee is in home awaiting order status (HAOS) awaiting final action of a formal physical evaluation review board.
 - (f) On awarding NJP or civil conviction if the NJP or conviction was due to or in conjunction with an alcohol incident for which the member was previously assigned an unscheduled enlisted evaluation report as per Article 4.C.2.c.(8) or Article 4.C.2.c.(9) of this Manual. When additional charges other than "drunk and disorderly" are awarded (i.e. criminal charges: assault, property damage, DUI, resisting arrest), which were pending investigation and not

documented in the initial AI EER, the command must send a memorandum to CG PSC after the NJP or civil conviction with any appropriate updates/changes to the initial AI EER including reduction in rate. Provide required updated comments for any marks changed to 1, 2, or 3 and any changes for the future potential, conduct and advancement potential blocks. EER comments must provide details of the additional charges and the date of NJP.

- (g) Upon advancement to any pay grade up to, and including, advancement to pay grade E-4.
- c. Reservist Performing Temporary Duty. For reservists performing temporary duty at a unit other than their permanent unit for active duty due to mobilization or short-term active duty for operational support (ADOS), it is the responsibility of the unit where the evaluatee is performing active duty to complete and submit the evaluatee's regular evaluation report when the evaluatee has spent the last 92 days or more of the review period at that unit. The permanent unit provides supporting documentation for the evaluation. In cases where the evaluatee has spent less than 92 days of the review period performing temporary duty at a unit other than their permanent unit for active duty due to mobilization or short-term ADOS, it is the responsibility of the temporary unit to provide the evaluatee's permanent unit with supporting documentation to use in completing the regular evaluation report.
- 2. **Unscheduled Enlisted Evaluation Reports.** While the EES focuses on regular evaluation reports, occasionally an unscheduled evaluation report is in order. Use the following to determine whether to complete an unscheduled evaluation report.
 - a. **General Guidance.** Complete an unscheduled evaluation report if the rating chain completed a regular or unscheduled evaluation report for a period ending more than 92 days for E-6 and below, 184 days for E-7 and above, or 19 active or inactive duty periods for reservists, in accordance with Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series) before one of the events listed below.
 - (1) **Advancement or Change in Rating to Pay Grade E-5 or Above.** Complete an advancement evaluation report on the day prior to the effective date of advancement or change in rating using the evaluation report competencies for the previously held pay grade. Do not complete an EER upon appointment to an officer status (e.g., CWO, OCS, and DCO).
 - (2) **Detachment for Permanent Change of Station.** Commands will ensure members sign the counseling sheet for transfer evaluation report no later than 15 days before departing the unit to allow adequate time for counseling and appeal processing if required.

- (3) Change in Approving Official. Complete an unscheduled evaluation report on the day prior to the change of the approving official when the following occur:
 - (a) Detachment of the evaluatee for intra-command reassignments if the approving official will change, or
 - (b) Detachment of an approving official who directly supervises an evaluatee. See Article 4.B.5.a.(5) of this Manual for examples.
- b. Reservist Performing Temporary Duty. For reservists performing temporary duty at a unit other than their permanent unit for active duty due to mobilization or short-term ADOS for at least 60 days, upon completion of the active duty period an unscheduled evaluation report will be completed by the temporary duty unit if more than 92 days has elapsed since the last regular evaluation report; supporting documentation will be provided to the reservist's permanent unit for the next regular evaluation report if less than 92 days have elapsed. Long-term ADOS (181 days or more) at a unit other than a reservist's previous SELRES unit is considered a permanent change of station, therefore, Article 4.C.2.a.(2). of this Manual applies. Long-term and short-term ADOS are defined in Chapter 3.B.4. of Reference (e), Reserve Policy Manual, COMDTINST M1001.28 (series).
- c. Performance Based. The following events require an unscheduled enlisted evaluation report, regardless of the time since the last evaluation report.
 - (1) On Receipt of Non-Judicial Punishment or Court-Martial. On the date a member is awarded non-judicial punishment (NJP) or convicted by a court-martial (CM).
 - (2) Note: Except in cases where a previous discipline EER was completed for an alcohol incident as discussed in Article 4.C.1.b(4)(f) of this Manual, where NJP or CM is later awarded. In these cases follow reporting procedures discussed in Article 4.C.1.b(4)(f) of this Manual to report updates/changes to the initial AI discipline EER.
 - (a) When a member is stationed at a major headquarters unit whose designated commanding officer of enlisted members for the command is not the regular approving official for the member, that officer sends a memorandum explaining the circumstances and a copy of the Court Memorandum, completed as a result of the NJP or CM to the member's designated approving official. The designated approving official uses the information provided to complete a disciplinary evaluation report when:

[1] A member is serving on TDY, including all students, except Class "A" school and PCS DUINS, and is to return to the parent command on

completing the TDY (e.g., commanding officer of a training center for a member attending a two-week course), the command effecting the NJP or CM conviction sends a letter explaining the circumstances to the member's parent command, including a copy of the Court Memorandum, completed as a result of the NJP or CM. The member's parent command completes a disciplinary evaluation report using the information provided and its knowledge of the member's performance.

[2] When a member is serving PCS DUINS or as a Class "A" school student, the commanding officer completes a special disciplinary evaluation report, using the "ASCH" rating scale, entering only the conduct and advancement recommendation marks.

[3] When a member is undergoing recruit training, the commanding officer completes a disciplinary evaluation report, assigning an unsatisfactory conduct mark and receive an advancement recommendation of not recommended only, leaving all other competencies blank.

(3) On Receipt of Civil Conviction. On the date a civil court convicts a member if the civil offense compares to similar offenses covered by the Uniform Code of Military Justice (UCMJ). The approving official must evaluate civil convictions carefully to avoid lowering marks inappropriately or unjustly. This includes determining whether a civil offense resulting in conviction (to include action amounting to a finding of guilt or forfeiture of bail) is a minor or major offense compared to similar offenses covered by the UCMJ. The following guidelines apply:

- (a) If the approving official determines a civil offense is a minor offense, they should normally consider it equivalent to NJP. Examples of minor offenses might include a minor case of disturbing the peace or an excessive number of parking tickets.
- (b) If the approving official determines a civil offense is a major offense, they should normally consider it equivalent to a CM conviction. Examples of major offenses include robbery or driving while intoxicated.
- (c) If a civil offense warrants an evaluation report of a member undergoing any Class "A," "C," school, advanced or recruit training, the commanding officer completes a disciplinary evaluation report assigning an unsatisfactory conduct mark and advancement recommendation only, leaving all other competencies blank.

- (d) When a member is TDY, ADOS-RC, or ADOS-AC and convicted in civil court, the TDY, ADOS-RC, or ADOS-AC command writes a letter to the member's parent command to explain the circumstances. The parent command completes a special disciplinary evaluation report using the information provided and its knowledge of the member's performance.
- (4) For Reduction in Rate.
 - (a) When the reduction is due to punishment:
 - [1] Complete a disciplinary evaluation report effective the date punishment is imposed.
 - [2] Use the competencies for the rate from which reduced.
 - [3] If a reduction in rate was awarded but the punishment was suspended and the suspension was later vacated, complete a disciplinary evaluation report if more than 92 days have elapsed (for E-6 and below enlisted evaluation reports), 184 days (for E-7 and above enlisted evaluation reports), or 19 active or inactive duty periods (for reservists) between the conviction and the reduction dates.
 - (b) When the reduction is for incompetence or at the member's request,
 - [1] Complete a reduction enlisted evaluation report effective the day before the effective reduction date.
 - [2] Use the competencies for the rate from which reduced.
- (5) Incompetency Probationary Period. At the end of a three-month probationary period for incompetency as required by Article 3.A.31.c. of this Manual.
- (6) For Servicewide Examination (SWE) purposes. Complete a SWE enlisted evaluation report only if the rating chain has not completed an evaluation report for the current pay grade during the prescribed time frame for advancement. (See Article 3.A. of this Manual.)
- (7) Individual Ready Reserve and Active Status List of the Standby Reserve. Complete a RSWE enlisted evaluation report to allow Individual Ready Reserve (IRR) and Active Status List (ASL) members to compete in a RSWE. Enlisted Evaluation Reports for IRR and ASL members assigned to Commander (CG PSC-RPM) are waived during performance not observed.
- (8) Alcohol Incident. A disciplinary enlisted evaluation report is required for a member who has an alcohol incident with an effective date of the day of the

alcohol incident regardless of the date it is determined an alcohol incident occurred.

- (a) Alcohol incident in conjunction with NJP or civil conviction. When additional charges other than "drunk and disorderly" are awarded (i.e. criminal charges: assault, property damage, DUI, resisting arrest), which were pending investigation and not documented in the initial AI EER, the command must send a memorandum to CG PSC after the NJP or civil conviction with any appropriate updates/changes to the initial AI EER including reduction in rate. Provide required updated comments for any marks changed to 1, 2 or 3, and any changes for the future potential, conduct and advancement potential blocks. EER comments in the conduct block must provide details of the additional charges and the date of NJP.
 - (b) Alcohol incident in conjunction with relief for cause. See Article 4.C.2.c.(9)(b) of this Manual.
- (9) Relief for Cause. A disciplinary enlisted evaluation report is required for a member who is relieved for cause in accordance with Reference (j), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series). The enlisted evaluation report must be completed within 30 days of the permanent relief authority's final approval action of the permanent relief for cause request. The effective date of the relief for cause EER must be the date the member was temporarily relieved for cause; if a temporary relief for cause was not executed, the effective date of the relief for cause EER must be the same as the permanent relief authority's final action date.
- (a) Relief for cause in conjunction with NJP or civil conviction.

[1] When a discipline EER was previously entered for awarded NJP or civil conviction which is also the basis for a relief for cause, the command must send a memorandum to CG PSC after the permanent relief for cause to update the initial discipline EER, directing the type of EER to be changed to "Relief for Cause" and the effective date to be changed as per Article 4.C.2.c.(9) of this Manual. The memorandum must also address any updates/changes to the marks assigned, and will provide any additional required comments for marks changed to a 1, 2, 3, or changes to the comments for the future potential, conduct and advancement potential blocks.

[2] When a relief for cause EER was previously entered which is also the basis for subsequently awarding NJP or civil conviction, the command must send a memorandum to CG PSC after the NJP or civil conviction

with any appropriate updates/changes to the initial relief for cause EER including reduction in rate. Provide required updated comments for any marks changed to 1, 2 or 3, and any changes for the future potential, conduct and advancement potential blocks. EER Comments in the conduct block must provide details of any additional charges and the date of NJP. The effective date remains in accordance with Article 4.C.2.c.(9) of this Manual, and "Relief for Cause" must remain as the type of EER.

- (b) Relief for cause in conjunction with an alcohol incident. When a discipline EER was previously completed for an alcohol incident, which was the primary basis for the relief for cause, the command must send a memorandum to CG PSC after the permanent relief for cause directing the type of EER to be changed to "Relief for Cause" and the effective date to be changed as per Article 4.C.2.c.(9) of this Manual. The memorandum must also address any updates/changes to the marks assigned, and will provide any additional required comments for marks changed to a 1, 2, or 3, and changes to the comments for the conduct, future potential and advancement potential blocks.

D. Enlisted Evaluation Report Guidance.

1. General.

a. Miscellaneous.

- (1) Use. The rating chain uses evaluation reports to evaluate enlisted members' performance of duties in any position or pay grade, whether in specialty or not.
- (2) Guidance. The rating chain will evaluate each enlisted member on the required period ending date to assess their actual performance since the last recorded evaluation report. The rating chain will base evaluation reports on how the member performed in each competency consistently throughout the period, except for conduct, to which the member must adhere every day of the period.

b. Marking Standards.

- (1) Performance Standards. Each competency is defined in terms of three performance standards: low, middle, and high. These standards are not the same for each pay grade. The higher the pay grade, the higher the standards become, as should be expected considering their increased training and experience. All raters will mark each evaluatee against the written standards, not against others in the same rate or rating.
- (2) Mark of 2, 4, or 6. For a mark of 2, 4, or 6, the member must meet these standards and no others in the next higher performance standard. A mark of 4

represents the expected performance level of all enlisted members. A single, significant isolated event, either positive or negative, should be considered when assigning marks, however, the rating chain must consider the overall positive or negative impact of the event.

(3) Marks Standards. Use the following guidelines to assign marks:

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

c. Limited Opportunity to Perform. For members with a limited opportunity to perform for reasons such as illness, injuries, and pregnancy, use the following guidelines.

(1) Occasionally, circumstances resulting from a temporary condition may limit a member’s opportunity to perform. These circumstances may cause specific performance restrictions (e.g., those imposed by a medical authority) and may even require restructuring or reassigning duties. While rating chains must not give preferential treatment, approving officials must ensure these members do not receive adverse evaluation reports solely for these circumstances.

(2) In consultation with the health care provider, the commanding officer or approving official must establish a reasonable expectation of performance in the member’s current circumstances. In particular, the commanding officer must determine whether a member requires reassignment to a different work environment, restrictions on performing specific types of tasks, or reduced work hours. When considering reassigning or restructuring duties, commanding officers will strive to identify service needs which complement the member’s temporary limited abilities.

2. Required Comments. Rating officials must provide required comments for certain marks in accordance with this Chapter.

a. Purpose of Required Comments. These remarks serve as supplemental information on the evaluatee in determining decisions such as officer in charge certification, removal for cause, regular duty assignments, or special duty assignments as a recruiter, instructor, investigator, or command master chief.

b. When Required.

(1) Comments. These comments are required for the following reasons:

(a) To address the future potential of all enlisted members E-4 and above;

(b) For any marks of 1, 2, 3, or 7

(c) When the member is not ready or not recommended for advancement per Article 4.D.3. of this Manual; and

(d) EERs that result in assignment of an unsatisfactory conduct mark per Article 4.D.4. of this Manual.

[1] This entry must either state an NJP, CM, civil conviction, or low factor mark occurred or gives specific examples of financial irresponsibility, non-support of dependents, alcohol incidents, and nonconformance to civilian and military rules, regulations, and standards that discredited the Coast Guard. For NJP, CM, or civil conviction, the comments must specifically state what actions resulted in the disciplinary action to include the articles violated of the UCMJ, and what punishment was imposed.

[2] To clearly distinguish this type of remarks entry from all others, start the entry in the conduct competency field with: "These are required comments to support an adverse entry for...".

[3] Insufficient Grounds for Adverse Comments. A one-time, minor infraction (e.g., late to work) is normally not to be classified as an adverse remarks entry. Adverse entries dealing with minor infractions that could affect good conduct eligibility upon submission of a regular EER should focus on patterns of unacceptable behavior rather than a one-time minor infraction.

c. Specificity of Required Comments. Specific comments that paint a succinct picture to the reader of the evaluatee's observed performance and qualities allow the reader to determine how the evaluatee exceeded or failed to meet the standards and will reduce or eliminate erroneous interpretations. These comments are critical to the reader

- being able to ascertain an accurate portrayal of the evaluatee's daily performance; if a reader cannot form a clear picture of the performance, the human tendency is to disregard or assign a lesser value to the comments.
- d. **Need for Additional Comments.** The approving official may solicit other comments on observed performance to support any marks at any time prior to concurrence with a recommended mark. Likewise, the supervisor or marking official may comment any time either believes more should be said about the evaluatee in any competency or factor.
 - e. **Use of Comments for Feedback.** Use any comments that affected the evaluation's report's results during the counseling and feedback session.
3. **The Advancement Recommendation.**
- a. **Basis for the Advancement Recommendation.** While the rating chain must consider past performance, it must also consider and base the advancement recommendation on the member's potential to perform satisfactorily the duties and responsibilities of the next higher pay grade, qualities of leadership, personal integrity, and adherence to the Service's core values. The approving official's recommendation for advancement (to include change in rating by participation in the SWE) is valid only for a specific competition and must be renewed for each succeeding competition. Thus the rating chain must address this independent Section every time they complete an evaluation report.
 - b. **Guidelines for the Advancement Recommendation.** When completing the advancement potential part of the evaluation report, the rating chain should focus on the guidelines in Article 3.A.4.b.(3) of this Manual on advancement recommendations and then select one of the following choices:
 - (1) **Ready.** Assign this mark if, in the view of the rating official, at the time of this evaluation the individual has the capability and capacity to carry out the duties and responsibilities of the next higher grade, and has satisfied all eligibility and qualification requirements for the next higher grade. Required time in grade/service must not be considered when determining overall eligibility for advancement. Note 1.
 - (2) **Not Ready.** Assign this mark if, in the view of the rating official, at the time of this evaluation the individual is satisfactorily performing their required duties but is not yet ready to carry out the duties and responsibilities of the next higher grade, or has not satisfied all eligibility and qualification requirements for the next higher grade. Required time in grade/service must not be considered when determining overall eligibility for advancement. Note 1.

(3) Not Recommended. Assign this mark if, in the view of the rating official, the individual should not be advanced to the next higher grade, regardless of qualification or eligibility, due to negative conduct or poor performance, including an unsatisfactory conduct mark, or good order and discipline issues.

Note 1: When determining if a member has satisfied eligibility requirements for advancement, the requirements to complete the Coast Guard Chief Petty Officer Academy (or other DoD Senior Enlisted Academy) or the Coast Guard Senior Enlisted Leadership Course must not be considered due to these courses being offered only after a member is above a cutoff for advancement to the next higher grade. No eligibility requirements for advancement must be considered on EERs for members in paygrades E-1 through E-3.

- c. Qualification and Eligibility Requirements. The only qualification and eligibility requirements that an approving official must consider when determining if a member is ready for advancement are Commandant specified qualifications and eligibility requirements.
- d. Approved Waivers. Members with an approved waiver for a specific advancement eligibility requirement may receive a ready if otherwise eligible and recommended.
- e. Required Comments and Counseling. If a member is not ready or not recommended for advancement, the approving official must counsel the member on why this mark was assigned and on the steps necessary to earn a ready for advancement and prepare required comments in accordance with Articles 3.A.4.b.(2)., 3.A.4.e., and 4.B.4. of this Manual. Comments for a not ready and not recommended must be detailed and specific to why the mark was assigned and should outline the steps necessary to earn a ready for advancement.
- f. For SWE Purposes. To be valid for SWE purposes, the advancement recommendation must be on an EER with an effective date after the SED of the previous SWE cycle and on or before the SED of the current SWE cycle. The advancement recommendation of ready must be maintained for the period from the recommendation date to the advancement date. Members failing to maintain the advancement recommendation of ready for this period will be removed from the applicable SWE eligibility lists and must again meet the eligibility requirements of Article 3.A.4.b. of this Manual prior to competing in subsequent SWE.
- g. Finality of the Advancement Recommendation. The approving official's decision on the advancement recommendation is final and may not be appealed. However, if the approving official learns new information and decides to change the recommendation, they must follow the procedures in Article 4.E.2. of this Manual.

- h. **Mandatory Withdrawal of the Advancement Recommendation.** An advancement recommendation of not recommended will be given to members who receive an unsatisfactory conduct mark, NJP punishment, court-martial conviction, civil conviction, or permanent relief for cause. When applicable, notify Commanding Officer (PPC (ADV)) to invalidate the recommendation for advancement of the candidate.
 - i. **Change of Commanding Officer's Recommendation (CORC).** At any time, the member's commanding officer may change a recommendation for advancement for any good and sufficient reason. A change of CORC may be submitted by the member's commanding officer (or approving official if delegated) by completing a CORC EER in Direct Access. When submitting a CORC to change a not ready or not recommended to ready, the approving official must ensure eligibility requirements are met. When submitting a CORC to change the recommendation to not ready or not recommended, comments are required in accordance with Article 4.D.3.e. of this Manual.
4. **An Unsatisfactory Conduct Mark.**
- a. **General.** An unsatisfactory conduct mark on the EER is required when a member fails to meet the standards of conduct prescribed by this Article and requires an advancement recommendation of not recommended. The EER must contain required comments as prescribed by Article 4.D.2 of this Manual.
 - b. **Circumstances That Require an Unsatisfactory Conduct Mark.** The rating chain must assign an unsatisfactory mark in conduct whenever any of the following occurs:
 - (1) Non-judicial punishment;
 - (2) Courts-martial;
 - (3) Civil conviction;
 - (4) Financial irresponsibility;
 - (5) Non-support of dependents;
 - (6) Alcohol incident (see Article 4.C.1.b.(4)(f)) of this Manual for specific guidance on the evaluation report submission requirements in conjunction with an alcohol incident);
 - (7) Permanent Relief for Cause
 - (8) Not complying with civilian and military rules, regulations, and standards. A one-time minor infraction (e.g., late to work) is insufficient grounds for an

unsatisfactory conduct mark. Rating chains will focus on majority of infractions or patterns of unacceptable behavior vice a one-time infraction or

- (9) The sum of marks in an individual factor on a member’s enlisted evaluation report is less than that shown in the following chart:

GROUP	MIL	PERF	PROF	LDRSHP
E-1 – E-4	6	6	9	6 (E-3 only)
E-4 – E-6	6	9	12	12
E-7 – E-9	6	12	12	15

c. Impact of Unsatisfactory Conduct Mark

- (1) Advancement. Assigning an unsatisfactory conduct mark will negatively impact advancement to the next higher pay grade, change in rate, or participation in the SWE. See Article 3.A. of this Manual for specific guidance on advancements.
- (2) Good Conduct Award Eligibility. A new period of eligibility for the Good Conduct award begins the day after the effective date of the EER in which an unsatisfactory conduct mark was awarded. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP.

E. Waiving and Changing Enlisted Evaluation Report Marks.

1. Waiving Enlisted Evaluation Report. Occasionally it is either impossible to evaluate an evaluatee; e.g., the member was inpatient or on sick leave during entire period, or an evaluation report period is overlooked administratively. In these and similar situations the approving official can submit a request to CG PSC, seeking a waiver of the entire period by letter, specifying the reasons.
2. Changing Enlisted Evaluation Report Marks. Approving officials are authorized to change any mark they assigned to members still attached to the unit if the approving official receives additional information that applies to the particular evaluation report period.
 - a. A Change Prior to Evaluation is Marked Final. If the evaluation report has not been marked final in Direct Access, the approving official discusses the marks with the marking official as noted in Article 4.B.5.d.(2). of this Manual. Any changes to those marks must be entered in Direct Access. A new counseling sheet will be printed and acknowledge by the member.

- b. A Change After an Evaluation is Marked Final.
- (1) Approving Officials who submitted an evaluation report to Commanding Officer (CG PPC), and wish to recall the form within seven calendar days of the submission date due to accidental submission prior to completion; errors discovered on the EER; or new information received requiring changes to scores, may submit a return request via "Trouble Ticket" through the CG PPC Customer Care web page or by email to "PPC-DG-CustomerCare". The following criteria must be met:
 - (a) The EER had been submitted as final within the last seven calendar days;
 - (b) The original Approving Official is still assigned to the unit; and
 - (c) The member is still assigned to the unit.
 - (2) If the Approving Official submitted the evaluation report to Commanding Officer (CG PPC) and wishes to make changes after seven calendar days past the submission date, and the member is still assigned to the unit, the Approving Official writes, signs, and sends a memorandum to Commanding Officer (CG PPC) to request changing the marks. The memorandum may be attached to a Trouble Ticket. The memorandum must contain the following information:
 - (a) The member's name, rate, and employee ID;
 - (b) The period ending date;
 - (c) The specific competencies being changed;
 - (d) The original numerical mark, conduct mark or CO's recommendation for advancement;
 - (e) The revised numerical mark, conduct mark or CO's recommendation for advancement; and
 - (f) A statement the member has been advised of these changes.
 - (3) Commanding Officer (CG PPC) changes the evaluation report in Direct Access then notifies the Approving Official.
 - (4) The member must verify through Direct Access self service that their individual evaluation report has been properly updated.
 - (5) If the judicial proceedings are later set aside, the current Approving Official reevaluates and adjusts marks on the unscheduled disciplinary evaluation report assigned by any Approving Official based on alleged offenses committed.

- (6) Any Approving Official who has reason to believe marks assigned by another approving official are erroneous must write to Commander (CG PSC) describing the circumstances. This memorandum must include supporting documentation and a recommended course of action.

F. Appeals.

1. General.

- a. Purpose of the Appeal Process. The evaluation report is designed to be as objective as possible. However, when one human being evaluates another, there will be some subjectivity. Even when the member perceives no difference in performance from one period to the next, small variations in marks can occur.
- b. Basis of the Appeal Process. The appeals process is designed to review marks the evaluatee believes were based on:
 - (1) Incorrect information;
 - (2) Prejudice;
 - (3) Discrimination; or
 - (4) Disproportionately low marks for the particular circumstances.
- c. The Advancement Recommendation. The recommendation for advancement portion on the evaluation report may not be appealed to an appeal authority.

2. Responsibilities.

a. The Member.

- (1) Request an Audience. Before writing an appeal, the member should request an audience with the rating chain to verbally express any concerns that could lead to a written appeal.
- (2) Written Appeal. If this meeting does not lead to an agreement between the approving official and the member, the member can appeal in writing and submit the appeal to the appeal authority indicated in the Enlisted Evaluation System Procedures Manual, PSCINST M1611.2 (series), via the commanding officer. If the member has been reassigned, they must submit the appeal to the appeal authority for the former command, via the commanding officer of that command.
- (3) The Appeal Letter. The appeal letter must contain the specific competencies in dispute and supporting information indicating why the marks should be reviewed. Supporting information must include specific examples of demonstrated

performance that indicate how the member met or exceeded the written standards. The member attaches a copy of the signed evaluation report counseling sheet as the first enclosure and other enclosures pertinent to the assigned marks.

- (4) Submission Deadline. The member must submit the appeal within 15 calendar days (45 calendar days for reservists) after the date they signed the acknowledgment section of the counseling sheet for the disputed evaluation report. If the member refuses to sign the counseling sheet, this timeline begins the date the unit representative signs the refusal to sign statement.
 - (5) Appealing After the Deadline. If appealing more than 15 calendar days (45 calendar days for reservists) after the date the member signed the evaluation report acknowledgment section, the member must explain the circumstances that precluded them from submitting the appeal within the prescribed time limit.
- b. The Commanding Officer. In many cases the commanding officer is the approving official. However, for commands such as district offices, area offices, and service/logistic centers, the commanding officer may not be approving official. In these instances, the approving official is synonymous with the title commanding officer for the following responsibilities:
- (1) Each commanding officer must ensure all enlisted persons are aware of their right to appeal under Article 4.F. of this Manual.
 - (2) Each commanding officer must ensure counseling and clerical assistance are provided to any member desiring to exercise these appeal rights.
 - (3) As a result of the appeal, a commanding officer may raise or leave marks unchanged, but may not lower any marks. If the member accepts the relief the approving official grants, the appeal need not be sent to the appeal authority. If the relief does not satisfy or only partially satisfies the member, the commanding officer must send the appeal and then comply with the change procedures in Article 4.F.2. of this Manual.
 - (4) Commanding officers will endorse and send the appeal letter to the appeal authority within 15 calendar days of receiving it from the member. The appeal authority may extend the 15 days if the commanding officer needs additional information before responding to the appeal or to accommodate unit focus on operations and readiness. The commanding officer's endorsement should address any delay.
 - (5) The commanding officer's endorsement will contain specific examples of demonstrated performance that warranted the assigned marks and address any

extenuating circumstances. The commanding officer will ensure the member receives a copy of the command's endorsement.

c. The Appeal Authority.

- (1) Timeline. The appeal authority must review and act on the appeal within 15 calendar days after receiving it. Commander (CG PSC-EPM) or (CG PSC-RPM) may extend the 15 days if the appeal authority needs additional information from either the member or commanding officer before responding to the appeal.
- (2) Authority to Change a Mark. In acting on an appeal, the appeal authority may raise or leave unchanged the member's marks, but may not lower any marks an approving official assigned.
- (3) Distribution of Appeal Package. Once the appeal authority has decided, they should ensure copies of the appeal package (member's letter, command endorsement along with all enclosures, and appeal authority's action) are sent to Commanding Officer, CG PPC (ADV) for review and possible update to the member's evaluation report data.