

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.