

2004

**The Coast Guard Officer Evaluation System: Examining the Link
Between Accessions, Assignments, Demographics, and
Performance.**

Harlan Jeffery Copeland

The Coast Guard Officer Evaluation System:

*Examining the Link Between Accessions, Assignments,
Demographics, and Performance.*

UNIVERSITY LIBRARY
GOLDEN GATE UNIVERSITY
536 Mission Street
San Francisco, CA 94105-2968

Harlan Jeffery Copeland

Golden Gate University

2004

LD
2001
.G43
C67

The Coast Guard Officer Evaluation System:
*Examining the Link Between Accessions, Assignments,
Demographics, and Performance.*

Harlan Jeffery Copeland

Golden Gate University

2004

Table of Contents

I. Abstract 1

II. Introduction..... 3

History & Missions 3

Organizational Structure 4

Workforce 5

Accession Points 6

Conclusion 6

III. Coast Guard Officer Accession Programs 7

The Coast Guard Academy 7

Officer Candidate School..... 8

Reserve Officer Candidate Indoctrination 8

Direct Commission Officer School..... 9

Conclusion 9

IV: The Officer Evaluation System 10

The Officer Evaluation Report..... 10

Submission Schedule 11

The Rating Chain 11

Quality Control 12

Prohibited Content 13

Procedural Justice 13

Conclusion 14

V. Literature Review 15

Women and Minorities in America’s Volunteer Military..... 15

Gender Differences in Enforcing the Honor Concept at the U.S. Naval Academy..... 18

Why Don’t Minorities Join Special Forces?..... 19

Men and Women of the Corporation 19

Conclusion 20

VI. Research Questions and Methodologies 21

Primary Research Question..... 21

Research Hypothesis..... 21

Null Hypothesis 22

Target Population..... 22

Unit of Analysis 22

Secondary Research Questions..... 22

Independent Variables 22

Dependent Variables..... 23

Research Design..... 23

Survey Results 24

Conclusion 26

VII. Findings..... 27
Commissioning Source 27
Race 28
Gender..... 29
Age 30
First Tour Assignment 31
Conclusion 33

VIII. Conclusions and Recommendations 34
Conclusions..... 34
Policy Recommendations..... 35

IX. About the Author..... 38

X. Works Cited..... 39

I. Abstract

The United States Coast Guard is facing challenges of historic proportions. The increased emphasis on homeland security and rapid growth of its budget and workforce are stressing the agency in ways that were unimaginable just a few years ago. Never has it been more relevant to undertake a careful assessment of the service's leaders – the officer corps – and the programs through which they are indoctrinated and trained.

Virtually all Coast Guard officers come from one of four commissioning sources: The Coast Guard Academy (CGA), Officer Candidate School (OCS), Reserve Officer Candidate Indoctrination (ROCI), or one of several Direct Commission Officer (DCO) programs. These programs vary in length from three weeks (ROCI) to four years (CGA), yet when graduates of these programs “hit the streets”, little regard is paid to their commissioning source – they are all expected to perform equally well.

Are there any differences in the performance of Coast Guard officers from different commissioning programs? The answer to this question could have a critical impact on the organizational success of the Coast Guard. But, surprisingly, no one has conclusively answered it to date. This study hopes to do just that, thereby settling this decades-old debate.

In April 2004, an anonymous survey was administered to approximately 1,200 Coast Guard officers commissioned between 2002 and 2004 and currently serving in grades O-1 (Ensign) through O-3 (Lieutenant). Their responses, which provided data related to the respondents' commissioning source, demographics, and performance appraisals, were studied to determine what, if any, differences exist and to what degree.

Also considered was whether respondents' ethnic background, gender, age, or first-tour assignment had a measurable impact on performance.

The author's findings suggest that there are no significant differences in the performance of Coast Guard officers attributable to commissioning source. There are, however, some notable discrepancies based on race and gender. The researcher closes with some noteworthy conclusions and policy recommendations that should be required reading for the Coast Guard's senior leadership.

This paper is laid out as follows: Section II presents a brief synopsis of the history, organization, and missions of the U.S. Coast Guard, Section III reviews the Coast Guard Officer Accession Programs used as independent variables in this study, Section IV reviews the Coast Guard's Officer Evaluation System, Section V provides a brief review of some recent academic literature deemed relevant to this study, Section VI explains the research questions and methodologies employed in this study, Section VII presents the author's findings, Section VIII the author's conclusions and recommendations, and Section IX the author's biography.

II. Introduction

Any study that looks at the inner workings of an organization should be preceded by some historical and organizational background information. Thus, this section offers a brief overview of the history & missions, organizational structure, workforce, and accession points of the United States Coast Guard.

History & Missions

The U.S. Coast Guard originated in 1790 as the Revenue Cutter Service, created by Congress' passing of the Revenue Cutter Bill on August 4th, 1790, and as such is our nation's oldest seagoing armed force (the Continental Navy was disbanded after the revolution and would not be reestablished until 1799). Secretary of the Treasury Alexander Hamilton sponsored the bill out of a need to enforce maritime revenue and import tax collections in the nation's ports, but the Revenue Cutter Service quickly became a "multimission" organization. In response to a rash of attacks on U.S. Merchant vessels by armed foreign vessels in the 1790s, Congress authorized the President to "increase the strength of the several Revenue Cutters...to defend the sea coast and to repel any hostility" in 1797 (Krietmeyer, 1991, pp. 5-6).

The modern Coast Guard was formed in 1915 with the amalgamation of the Revenue Cutter Service, the Lighthouse Service, the Life-Saving Service, the Steamboat Inspection Service, and the Bureau of Navigation, and remained under the control of the Department of the Treasury until 1967, when it became part of the newly formed Department of Transportation (Krietmeyer, 1991). The Coast Guard was transferred intact to the Department of Homeland Security in March 2003.

In addition to its historical military role, the modern day Coast Guard derives its military authority from Title 14 of the United States Code, which states, “The Coast Guard as established January 28, 1915, shall be a military service and a branch of the armed forces of the United States at all times”. The Commandant of the Coast Guard, a four star Admiral, reports directly to the Secretary of the Department of Homeland Security.

According to its mission statement:

The United States Coast Guard is a military, multimission, maritime service and one of the nation's five Armed Services. Its mission is to protect the public, the environment, and U.S. economic interests – in the nation's ports and waterways, along the coast, on international waters, or in any maritime region as required to support national security.

Organizational Structure

As a 214 year-old military service, top-down control and classical bureaucratic structures are the norm for the Coast Guard. The Coast Guard is divided into two Areas – Atlantic Area and Pacific Area – over which the Commandant, through Coast Guard Headquarters, maintains operational and administrative control.

Each Area has a Maintenance and Logistics Command (MLC), which as the name implies, provides maintenance and logistics support to the Area Commander and his or her operational units. Each MLC controls several Electronics Support Units (ESUs), Naval Engineering Support Units (NESUs), Civil Engineering Support Units (CEUs), and Integrated Support Commands (ISCs). Each Area maintains control over its respective MLC, High Endurance Cutters, Maritime Safety and Security Teams (MSSTs), and other operational units, and is further divided into Districts, over which it also has control.

Each District is further divided into areas of responsibility that are each administered by a Group Commander. Each Group typically controls several Stations, Patrol Boats, Buoy Tenders, and other units. This top-down system of command and control is commonly referred to in the military as the *chain of command*, as shown in figure 2.1.

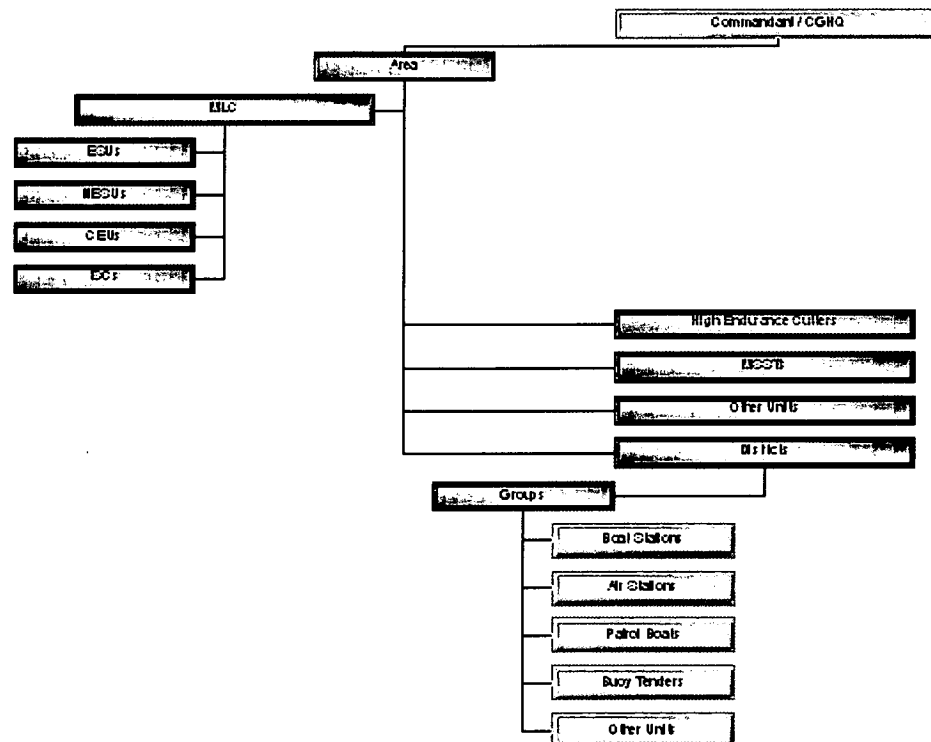


Figure 2.1: Coast Guard Organizational Chart

Workforce

Like the other military services, the Coast Guard has a stratified workforce, with enlisted members ranking from E-1 (Seaman Recruit) to E-9 (Master Chief Petty Officer), and commissioned officers ranking from O-1 (Ensign) to O-10 (Admiral). Coast Guard ranks and titles mirror those used by the United States Navy (see Appendix A). There are currently approximately 32,000 enlisted Coast Guard members, and 7,500 commissioned officers.

Accession Points

Virtually all enlisted Coast Guard members are inducted through a single point – Recruit Training or “boot camp”, which is administered by the Coast Guard’s Recruit Training Center in Cape May, New Jersey. However, officer accessions are more complex.

Coast Guard officers may receive commissions from the Coast Guard Academy (GGA), Officer Candidate School (OCS), Reserve Officer Candidate Indoctrination (ROCI), or one of several Direct Commission Officer (DCO) programs. These programs vary in duration from three weeks (ROCI) to four years (CGA), yet little attention is paid to an officer’s commissioning source once he or she enters the workforce – all officers are expected to perform equally well and are, in fact, rated using the exact same performance appraisal instrument - the Officer Evaluation Report (OER).

Conclusion

This paper will discuss these commissioning programs, and the OER, in greater detail, and present the author’s findings on the impact of commissioning source, race, gender, age, and first-tour assignment on officer performance.

III. Coast Guard Officer Accession Programs

As previously mentioned, Virtually all Coast Guard officers come from one of four commissioning sources: The Coast Guard Academy (CGA), Officer Candidate School (OCS), Reserve Officer Candidate Indoctrination (ROCI), or one of several Direct Commission Officer (DCO) programs. CGA and OCS each account for about 45% of the approximately 500 Coast Guard Officers commissioned each year, with ROCI and DCO making up the other 10%. This section will discuss each of these programs in greater detail.

The Coast Guard Academy

Founded in 1876, the United States Coast Guard Academy in New London, Connecticut is a formal, four-year military academy and university offering Bachelor of Science degrees in one of eight majors. These include: naval architecture and marine engineering, civil engineering, mechanical engineering, electrical engineering, operations research and computer analysis, marine and environmental science, government, and management. The mission of the Coast Guard Academy is:

To graduate young men and women with sound bodies, stout hearts and alert minds, with a liking for the sea and its lore, with that high sense of honor, loyalty and obedience which goes with trained initiative and leadership; well grounded in seamanship, the sciences and amenities, and strong in the resolve to be worthy of the traditions of commissioned officers in the United States Coast Guard in the service of their country and humanity.

As one might expect, in addition to academic pursuits, cadets are indoctrinated into a military lifestyle and are expected to learn the history and traditions of the Coast Guard and the armed services. The student body, known as the Corps of Cadets, “is organized into eight companies forming one regiment”. Cadets are expected to learn and utilize the regimental chain of command, gaining seniority and “rank” as they progress.

Cadets are commissioned as Ensigns upon graduation and are normally assigned to an afloat unit for their first tour.

The Coast Guard Academy is also home to the Coast Guard's Leadership Development Center, which administers Officer Candidate School, Reserve Officer Candidate Indoctrination, Direct Commission Officer School, and several other professional development programs.

Officer Candidate School

Started in the 1940's, Officer Candidate School (OCS) is "a rigorous seventeen week course of instruction" for enlisted Coast Guard members, prior service members, or reservists who meet certain eligibility requirements, and civilian college graduates (normally from university ROTC programs). "In addition to indoctrinating students into a military lifestyle, OCS also provides a wide range of highly technical information necessary for performing the duties of a Coast Guard Officer".

The mission of Officer Candidate School is "to prepare candidates to serve effectively as officers in the United States Coast Guard". Graduates are commissioned as Ensigns and may be assigned to an afloat unit, flight school, staff or operations ashore assignment, or elsewhere depending on the needs of the service.

Reserve Officer Candidate Indoctrination

Reserve Officer Candidate Indoctrination (ROCI) is a three-week course of instruction designed to prepare candidates "to serve effectively as junior officers in the U.S. Coast Guard Ready Reserve". Training topics include: military indoctrination, Coast Guard history, roles, organization, and missions, military justice, and leadership. Graduates are normally commissioned as Ensigns.

Direct Commission Officer School

The Coast Guard offers direct commissions to individuals with particular job training, education, or professional experience in skill areas where the service has a critical need or shortage of personnel. These areas include: aviation, engineering, environmental management, legal, and medical. Graduates of select maritime academies (such as the U.S. Merchant Marine Academy) or prior officers from other services may also be eligible for direct commissions.

Direct Commission Officer (DCO) School is 3 to 5 weeks in length, depending on the officer's specialty and background. Graduates may be commissioned as an Ensign, Lieutenant Junior Grade, or Lieutenant.

Conclusion

Clearly, there are some dramatic differences in the curriculum, intensity, duration, and format of the Coast Guard's various commissioning programs. Do these differences equate to differences in performance in the field? Whether, and how, graduates' performance in the field differs are the central questions this study hopes to answer.

IV: The Officer Evaluation System

The United States Coast Guard's Officer Evaluation System (OES) has been called "one of the premier performance management systems in use within the public or private sectors" (Preusse, 1998). The OES is the basis for virtually every personnel decision (promotions, assignments, training, etc.) in the Coast Guard officer corps. Since its inception in 1984, "the OES has been a model for the development of other military, government, and corporate performance management systems", wrote Preusse.

But the OES is not perfect. Acknowledged Preusse, "As a performance management system enabling our officer personnel decision making processes, the OES is acknowledged as one of the best. However, it remains subject to human frailties". This section will discuss the elements of the OES: The Officer Evaluation Report (OER), the OER submission schedule, the rating chain, quality control, prohibited content, and procedural justice.

The Officer Evaluation Report

The centerpiece of the OES is the Officer Evaluation Report (OER), and any discussion of the OES must begin here. The OER is a four-page performance appraisal instrument that incorporates a behaviorally anchored rating scale, multiple comment or essay sections, and a subjective comparison rating (see Appendix B). Both the behaviorally anchored rating scale and the comparison rating use a seven point likert scale, with the central mark (a "4") representing the accepted standard.

According to Borison (1992):

Six major categories or areas of evaluation of performance are included [in the OER] – Performance of Duties; Interpersonal Relations, Leadership Skills, Communications Skills, Personal Qualities, and Representing the Coast Guard. In addition, reporting officers are asked to evaluate an officer's "Leadership and

Potential” on a more subjective level, but based upon the same six categories. Each of the major categories is further divided into sub-categories. A written performance standard for each category/sub-category provides a common frame of reference among rating officers to which an officer’s observed performance and qualities may be compared.

These six discriminators clearly show the areas of performance and characteristics that are philosophically important to the Coast Guard’s top leadership. They are excellent indicators of what is important in our work culture.

Submission Schedule

OERs are completed on active duty officers serving in the grades of Ensign and Lieutenant Junior Grade semiannually, and annually for all other active duty officers below the grade of O-7, as shown in table 4.1 (PERSMAN, 10.A.3).

| Grade | OER Submission Due |
|-------------------------------|---------------------------|
| Captain (O-6) | April |
| Commander (O-5) | March |
| Lieutenant Commander (O-4) | April |
| Lieutenant (O-3) | May |
| Lieutenant Junior Grade (O-2) | January and July |
| Ensign (O-1) | March and September |

Table 4. 1: OER Submission Schedule

The Rating Chain

The Coast Guard Personnel Manual prescribes a four person “rating chain” for every OER. The rating chain consists of the officer on whom the evaluation is being performed (the “Reported-On-Officer” or ROO), his or her immediate supervisor, the “Reporting Officer” or RO (normally the supervisor’s supervisor), and the Reviewer (normally the RO’s supervisor, the commanding officer, or another officer expressly designated as a reviewing official). The Coast Guard Personnel Manual (Ch. 10.A) delineates specific responsibilities for each member of the rating chain. The following provides a brief synopsis of the normal OER process.

1. The Reported-On-Officer is responsible for initiating the OER and submitting any supporting documentation required by the rating chain no later than 21 days before the end of his or her reporting period.
2. The Supervisor evaluates the Reported-On-Officer's performance, completes sections 2 through 6 of the OER, and forwards to OER to the Reporting Officer no later than 10 days after the end of the reporting period.
3. The Reporting Officer is responsible for ensuring that "the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations" (10.A., p. 10). The Reporting Officer is required to forward the OER to the reviewer no later than 30 days after the end of the reporting period.
4. The Reviewer "Ensures the OER reflects a reasonably consistent picture of the Reported-on Officer's performance and potential" (10.A, p. 12), and Ensures the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES (10.A, p. 13). The Reviewer is also responsible for ensuring the OER is forwarded "in a reasonable time to permit the OER Administrator to ensure the OER is received by [Coast Guard Headquarters] 45 days after the end of the reporting period" (10.A.13).

Quality Control

In addition to the rating chain, the OER must pass two additional reviews before becoming "official". OERs must first be reviewed by a designated "OER Administrator" (normally an individual in the administration or personnel office of larger units). The OER administrator is responsible for:

1. Ensuring "timely OER submission for those officers under their administrative jurisdiction for any part of a reporting period" (10.A, p. 14).
2. Ensuring OERs are received in Coast Guard Headquarters no later than 45 days after the end of an officer's reporting period.
3. Ensuring completeness and accuracy of the OER.

Finally, the OER must be reviewed by the Coast Guard Personnel Command.

According to the Coast Guard Personnel Manual, "Commander, Coast Guard Personnel

Command has overall responsibilities for the OES” and “Provides final quality control review of OERs” (10.A, p. 15).

Prohibited Content

According to the Coast Guard Personnel Manual:

Members of the rating chain shall not:

- *Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members.*
- *Mention pregnancy. Restriction applies to Reported-on Officer and family members.*
- *Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.*
- *Place emphasis upon a third party by gender, religion, color, race, or ethnic background (e.g., Catholic lay minister wrote award recommendation for African-American civilian).*
- *Refer to the Reported-on Officer by first name.*
- *Refer to Reported-on Officer's marital or family status.*
- *Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period. (10.A, p. 48).*

Procedural Justice

The OES has three levels of procedural justice. First, officers who feel their OER was inconsistent with their actual performance (regardless of content) are authorized to submit a two-page reply that is permanently filed with the OER in question. According to the Coast Guard Personnel Manual (10.A, p. 48), “Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official”.

Secondly, officers who are the subject of a derogatory OER (an evaluation containing a numerical mark of 1 in any category or the comparison scale, or indicating adverse performance resulting in the officer's removal from his or her primary duties or position) have the right to file an addendum to their OER. An addendum, almost identical

to, but more formal than, a reply, "provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question" (10.A, p. 50).

Finally, "officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error" (10.A, p. 61). Such requests for formal correction are considered by a Personnel Records Review Board or a Board for Correction of Military Records, as appropriate.

Conclusion

The Coast Guard Officer Evaluation System is a mature system and, as such, presents relatively few problems. Preusse (1998) and others have solidly refuted many of the most common complaints about the OES (such as its time-consuming nature, the tendency for numerical inflation, and reliance on the writing talents of rating officials), and the majority of Coast Guard officers have rated the OES positively in workforce surveys.

My own research indicates that the OES is applied very equitably, with a couple of notable exceptions (which are discussed later in this paper). All in all, the OES is a top-notch, tightly controlled performance appraisal system, and it provides a solid and equitable basis for personnel decisions throughout the Coast Guard. As such, it also provides an ideal standard by which the performance of Coast Guard officers can be measured and compared.

V. Literature Review

No published research was found that directly paralleled my primary research question, or my secondary research questions pertaining to age or assignment. However, there have been volumes of research published pertaining to the impact of race and gender on job performance. Some of this research is reviewed in this section, as it provides an academic and organizational framework for my research.

Included in this section are reviews of studies related to gender and job performance by Quester and Gilroy (2002), Pazy and Oron (2001), and Pershing (2001); a study related to minority recruitment and job performance in the armed forces by Kirby et. al. (2000); and Kanter's (1977) observations regarding token populations in large organizations.

Women and Minorities in America's Volunteer Military

A. O. Quester & C. L. Gilroy (2002)

Quester and Gilroy (2002) painted a rosy picture of the U.S. military as "a pioneer of equal opportunity employment among the nation's institutions". The authors argued that the hierarchical structure and limited lateral entry of the military workforce actually help women and minorities for two reasons:

1. *The advancement process is both well-defined and based on merit, and*
2. *The promotion process looks at everyone.*

Quester and Gilroy provided some solid historical information on the role of women in the armed forces, as well as the demographic make-up of the U.S. military, and offered some compelling empirical evidence that suggests minorities and women have often attained top leadership positions in the military at a rate higher than that at which they were inducted.

For example:

- *Blacks were 3.1% of officer accessions in the years that today's O-7s entered the military and are now 6.7% of O-7s.*
- *Women were 8.6% of officer accessions in the years that today's O-7s entered and are now 8.6% of O-7s.*
- *Hispanics were 0.2% of officer accessions in the years that today's O-7s entered and are now 2.0% of O-7s.*
- *Blacks were 18.9% of enlisted accessions in the years that the current E-9s entered the military and are now 28.1% of E-9s.*
- *Women were 8.3% of enlisted accessions in the years that the current E-9s entered and are now 13.4% of E-9s.*
- *Hispanics were 5.5% of enlisted accessions in the years that the current E-9s entered and are now 5.9% of E-9s.*

These numbers clearly support the authors' argument that, "The military's internal labor markets have worked exceedingly well to provide top leadership positions for minority and women officers". While their study was much broader than my own, it nonetheless serves as a backdrop for my research, and deals with the same central issue: the impact of race and gender on job performance.

Sex Proportion and Performance Evaluation Among High-Ranking Military Officers

A. Pazy & I. Oron (2001)

In a study that closely resembles my secondary research questions concerning the impact of gender on performance, Pazy and Oron (2001) examined the performance appraisals of over 3,000 senior officers (Majors and Lieutenant Colonels) in the Israeli Defense Forces, and considered whether and how performance evaluations varied with the proportion of male to female officers at individual units. Though the authors' research was not performed on U.S. military members, their findings are nonetheless important for the management of the U.S. armed forces and organizations in general.

Overall, Pazy and Oron found that women's mean performance scores were higher than men's in the categories of *Overall Performance* and *Interpersonal Relations*,

while men's scores were higher in *Operational Competence*. Scores were not significantly different in *Analytic Competence*, the fourth category studied.

However, the real crux of the authors' findings was the observation that *the lower the proportion of women to men in a given unit, the lower the women's average performance ratings*. The authors also reported that "as the proportion became more balanced women's performance was rated increasingly more highly, even higher than men's". Furthermore, Pazy and Oron's research suggests that some semblance of gender equality (with regards to performance evaluations) occurs when females account for around 10% of the unit – this is a much lower threshold than earlier research had suggested.

Pazy and Oron concluded:

Women were rated lower than men when their representation was low. Men's overall performance scores remained relatively constant across proportion levels, whereas women's scores were low when they were tokens and increased as their units became more sex-balanced. This pattern of results supports Kanter's theoretical formulation regarding tokenism...The meaning of this finding is amplified in light of the otherwise superior overall evaluation that women received when there were more of them in the unit.

Though my study did not consider sex-proportion as a variable, my findings support Pazy and Oron's conclusion that women are not *generally* rated lower than men on performance evaluations in the military, but may nonetheless encounter some structural and perceived barriers in certain situations. Furthermore, empirical studies such as this lend credence to my recommendation to continue policies designed to increase the proportion of women in service academies and in the active-duty military workforce.

Gender Differences in Enforcing the Honor Concept at the U.S. Naval Academy

J. L. Pershing (2001)

The military academies in the United States were one of the last bastions of male dominance. Women were first admitted to the Naval Academy in 1976, and today comprise only about 10% of Naval midshipmen. “Their ongoing presence as a minority population continues to raise important questions about the extent to which they have been integrated” wrote Pershing (2001).

Pershing’s research focused on the Naval Academy’s Honor Concept – “a formal set of guidelines designed to ensure that midshipmen behave honorably in all places at all times”. Midshipmen who have knowledge of an honor violation by a peer are required to take action that can range from a verbal warning to a formal accusation. Pershing’s study used the rate of occurrence for these formal accusations as a measure of integration and examined “the extent to which a system of formal social control, such as the Honor Concept, is differentially enforced based on gender”.

Utilizing both primary and secondary data, Pershing concluded that there were significant gender and racial disparities in the midshipmens’ enforcement of the Honor Concept, and that “these disparities disfavor both women and racial minorities”. Pershing observed that “most midshipmen do not perceive that women and minorities are treated differently, and a significant number feel that women and minorities are treated preferentially. Ironically, these perceptions are inconsistent with official data clearly indicating that women and minorities are treated *less* favorably”.

Pershing offered some well-researched insights into the reasons for these perceptions, and concluded that:

Women are not intentionally targeted but, instead, are indirectly targeted because of factors related to their status as a token population...women at the Academy are highly visible, are more likely to be perceived as subperformers, and are less likely to be protected by norms concerning peer loyalty because of exclusion from male friendship networks. All of these factors increase women's chances of being reported for alleged violations of the Honor Concept rather than simply being counseled and cautioned.

Pershing's study is well researched and is supported by my findings regarding the impact of race and gender on performance evaluation.

Why Don't Minorities Join Special Forces?

S. N. Kirby, M.C. Harrell, & J. Sloan (2000)

This article by Kirby, Harrell, and Sloan, published in 2000, dealt with the issue of underrepresentation of minorities in U.S. Special Operations Forces (SOF), and the possible underlying causes for it. They concluded that:

Both structural and perceived barriers impede minority service members from joining SOF. Structural barriers include ASVAB¹ cutoff scores; clean discipline record; swimming requirements both during entry and training; and land navigation components of training. Perceived barriers include: lack of individual knowledge and community support among minorities for a SOF career; lack of identification with SOF, defined as a lack of comfort that minorities feel when in units where they may be the only minority; and perceived racism in Army SOF that deters minorities from applying (p. 541).

Of particular relevance to my research is their observation that *lack of identification with the majority population* is a barrier to recruitment and retention of minorities.

Men and Women of the Corporation

R. M. Kanter (1977)

Each of the preceding three studies mentioned Kanter's 1977 book, Men and Women of the Corporation. In it, she argued that "Productivity, motivation, and career

¹ The Armed Services Vocational Aptitude Battery (ASVAB) is an aptitude test administered to all enlistees of the U. S. Armed Forces.

success...were determined largely by organizational structure and the nature of the social circumstances in which people found themselves” and that “When men and women were dealt similar cards and given similar places in the corporate game, they behaved in similar ways” (Kanter, 1987).

The underlying problem, she concluded, is that “men and women rarely were dealt similar cards”. Kanter used the term “Token Population” to describe the small percentage of women who had managed to reach the upper rungs of the corporate ladder, and described some of the unique problems faced by tokens in large organizations. Like those of the preceding authors, my findings support Kanter’s observations, and are discussed in the following section.

Conclusion

That I was unable to find any published research that considered the impact of commissioning programs, age, or assignment on military officer performance suggests that these are under-studied areas of inquiry. It is my hope that this paper will be a welcome addition to the field and prime the pump for further study on these important and relevant topics.

There was however, no shortage of published research on the topics of race and gender on job performance, and the articles and studies I have presented here are just the tip of the iceberg. However, even this brief review has suggested there are some very real structural, social, and psychological barriers to recruitment, retention, and appraisal of women and minorities in the armed services. My own research, discussed in the following sections, suggests that these barriers may materialize as differences in the Officer Evaluation Reports of women and minorities in the Coast Guard officer corps.

VI. Research Questions and Methodologies

This section clarifies the methodologies employed in this research project, and explains the primary research question, research hypothesis, null hypothesis, target population, unit of analysis, secondary research questions, research design, and survey results.

Primary Research Question

The primary research question this study attempted to answer was: *Are there any significant differences in the performance of Coast Guard officers from different commissioning sources?* Commissioning sources considered were the Coast Guard Academy, Officer Candidate School, Direct Commission Officer School, and Reserve Officer Candidate Indoctrination.

Research Hypothesis

The research hypothesis used in this study was the widely held assumption that *an officer's commissioning source has a direct impact on his or her performance in the field (as documented by the OER), and performance is related to the length of the commissioning program.* Thus, one would expect to find superior performance appraisals from a sample of Coast Guard Academy graduates as compared to a sample of Officer Candidate School Graduates, and so on. Table 6.1 reviews the duration of the Coast Guard's commissioning programs.

| Commissioning Source | Duration |
|------------------------------------------|--------------|
| Coast Guard Academy | 4 years |
| Officer Candidate School | 17 weeks |
| Direct Commission | 3 to 5 weeks |
| Reserve Officer Candidate Indoctrination | 3 weeks |

Table 6.1: Duration of Coast Guard Commissioning Programs

Null Hypothesis

The null hypothesis used for this study was therefore the idea that *an officer's commissioning source has no direct impact on his or her performance in the field*. This would suggest that performance is attributable to other individual traits.

Target Population

The target population for this study was all Coast Guard officers commissioned between 2002 and 2004. This population consisted of approximately 550 officers serving in the grades of O-1 (Ensign), O-2 (Lieutenant Junior Grade), and O-3 (Lieutenant).

Unit of Analysis

The unit of analysis for this study was the Officer Evaluation Report, rather than the individual officer. All officers included in the study had completed between one and three OERs. Where more than one OER was submitted by the same individual, each OER was considered an individual record. A total of 351 OERs from 175 officers was examined.

Secondary Research Questions

This study also looked at demographic and assignment data to determine whether there are any significant differences in the performance of Coast Guard officers attributable to race, gender, age, or first-tour assignment.

Independent Variables

The independent variables in this study were the Coast Guard's officer accession programs (CGA, OCS, ROCI, and DCO), race, gender, age, and first-tour assignment.

Dependent Variables

Two dependent *performance variables* were examined in this study. The first being the respondents' *average mark*, defined herein as the numerical mean of the 18 performance categories rated in Sections 3, 4, 5, and 8 of the OER (Planning and Preparedness, Using Resources, Results/Effectiveness, Adaptability, Professional Competence, Speaking and Listening, Writing, Looking Out for Others, Developing Others, Directing Others, Teamwork, Workplace Climate, Evaluations, Initiative, Judgment, Responsibility, Professional Presence, and Health and Well-Being). The second performance variable examined was the respondents' *comparison rating* from Block 9 of the OER, which was converted to a seven point numeric scale for the purposes of statistical analysis.

Research Design

An anonymous online survey was administered to approximately 1,200² officers serving in the grades of O-1 (Ensign), O-2 (Lieutenant Junior Grade), and O-3 (Lieutenant) between April 3rd and April 19th, 2004. The survey asked officers to enter their commissioning source, race, gender, age, and first tour assignment, as well as the numerical data from their first three OERs (see Appendix C).

Respondents were also asked to validate their responses by selecting a statement that read "I hereby certify that the above information is accurate and that the OER data

² The target population size was approximately 550, but it was difficult to discern which officers serving in these grades fell within the target population. Thus a larger sample was surveyed, but a screening question directed officers not in the target population to disregard the survey.

entered exactly matches the data contained in my OER records as held by CGPC (OPM-3)³. Respondents whose responses were not validated were not included in the study.

The raw data from the survey is contained in Appendix D.

The response data was sorted and an independent sample t-test was used to determine if differences between the performance variables of population subsets were statistically significant. For example, the average mark of Coast Guard Academy graduates was compared to the average mark of Officer Candidate School Graduates, and so on. The results of this analysis are presented in Section VII of this paper.

Survey Results

There were 206 survey respondents for an actual response rate of 37%. Of these, 175 responses fit the target population, data, and validation requirements, for an effective response rate of 32%. Data from a total of 351 OERs from these 175 officers was examined in this study.

Of the respondents, 109 were serving in the grade of Lieutenant Junior Grade, 62 in the grade of Ensign, and 4 in the grade of Lieutenant. 55 were Coast Guard Academy Graduates, 77 were graduates of Officer Candidate School, 13 were commissioned through Reserve Officer Candidate Indoctrination, and 28 received Direct Commissions.

The demographic data concerning both race and gender closely resembled that of the Coast Guard officer corps in general, as shown in Figure 6.1, suggesting a very representative sample. 151 were white, 10 were Hispanic, 4 were African American, 4

³ CGPC (OPM-3) denotes the Coast Guard Personnel Command, Officer Personnel Management Division, Officer Evaluations Branch.

were Asian, 2 were Native Hawaiian of Pacific Islanders, and 4 reported their race as “other”⁴. 133 respondents were male, and 42 were female.

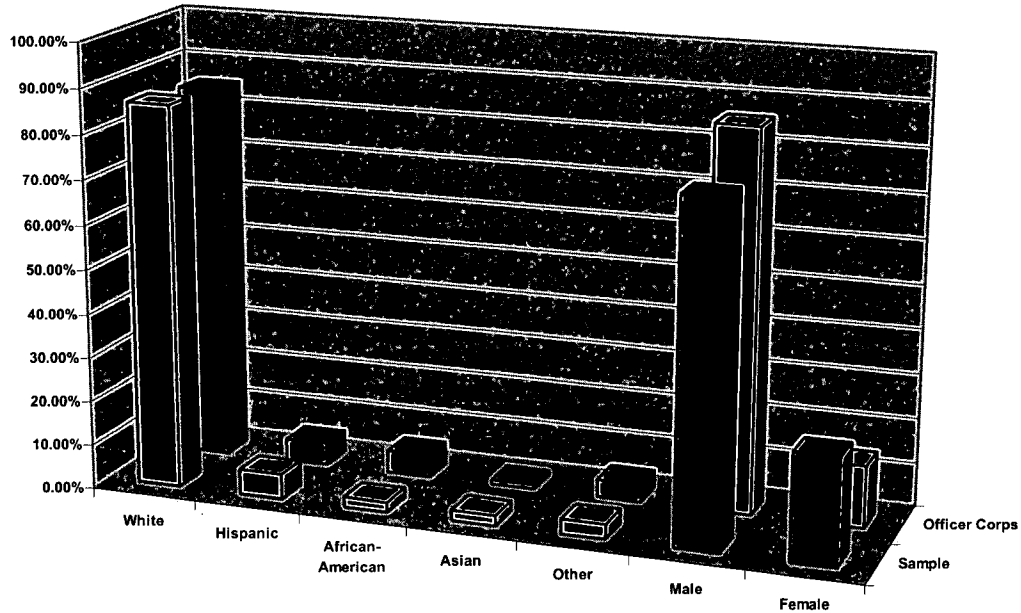


Figure 6.1: Demographic Data for Sample and Officer Corps

The respondent’s ages also suggested a highly representative sample, with 2.3% indicating they were between 18 and 22 years of age, 43.4% between 23 and 26, 32.6% between 27 and 30, 13.1% between 31 and 34, 6.3% between 35 and 38, and 2.3% between 39 and 42, as shown in Figure 6.2. Such a slope is exactly what one would expect to see in a representative sample of junior officers, with the mean shifting towards the right as rank and seniority increase.

⁴ Comments indicated that the respondents who reported their race as “other” were of mixed-race. Since all four indicated some minority heritage, their response data was included in the aggregate totals and averages for minorities for data analysis purposes.

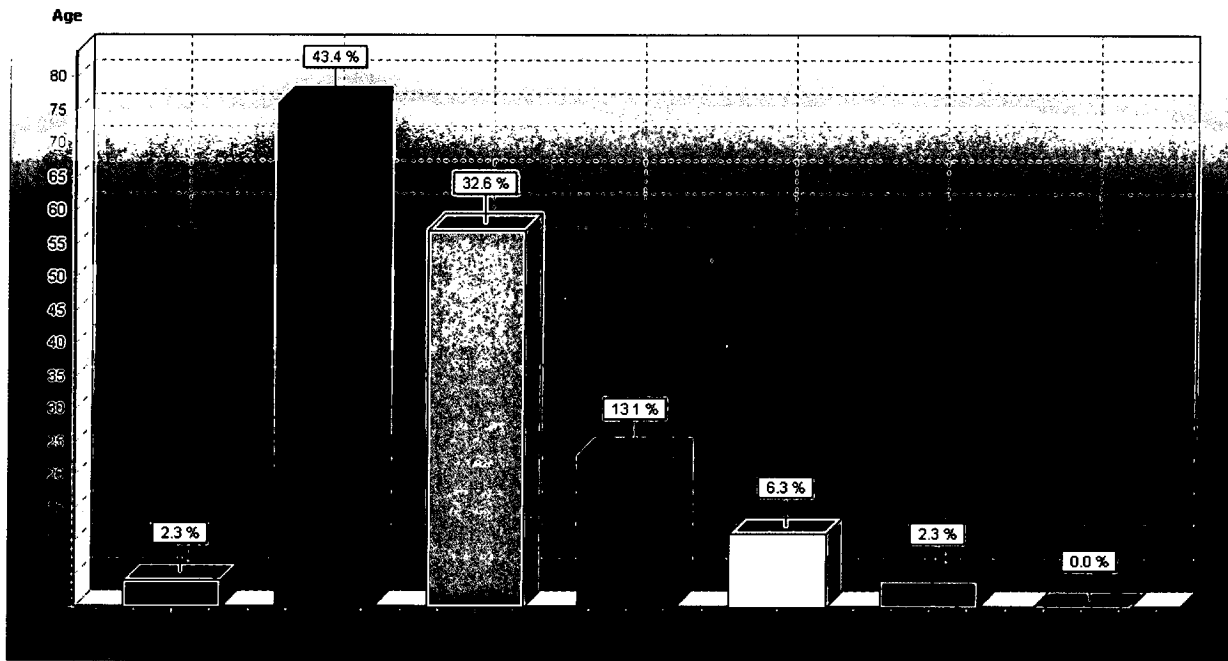


Figure 6.2: Respondents' Ages

Conclusion

Analysis of the data collected in this study clearly indicates that the sample, though not random, was highly representative of the target population, and of the junior officer corps in general. This author feels confident that the conclusions drawn from this study accurately reflect the parameters of the target population.

VII. Findings

This section presents the researcher's findings for each performance variable relationship that was examined. The two performance variables, *average mark* and *average comparison rating*, were compared across all possible subset combinations of the study population based on commissioning source, race, gender, age, and first-tour assignment, and are further explained in the following paragraphs.

Commissioning Source

To answer the primary research question (*Are there any significant differences in the performance of Coast Guard officers from different commissioning sources?*), the numerical data collected from 351 OERs was sorted by the respondents' commissioning source. The average mark and average comparison rating were compared using an independent sample t-test for the six possible combinations of commissioning sources, as shown in table 7.1.

| | | | |
|----------------------------------|------------|-------------|-------------------|
| CGA (n=139) / DCO (n=57) | CGA | DCO | t-obtained |
| Average Mark (s) | 5.04 (.79) | 5.02 (.73) | 0.16 |
| Average Comparison Rating (s) | 5.01 (.87) | 4.90 (.66) | 0.86 |
| CGA (n=139) / OCS (n=139) | CGA | OCS | t-obtained |
| Average Mark (s) | 5.04 (.79) | 5.04 (.74) | 0 |
| Average Comparison Rating (s) | 5.01 (.87) | 5.04 (.80) | 0.3 |
| CGA (n=139) / ROCI (n=16) | CGA | ROCI | t-obtained |
| Average Mark (s) | 5.04 (.79) | 4.86 (.66) | 0.88 |
| Average Comparison Rating (s) | 5.01 (.87) | 4.81 (.66) | 0.89 |
| DCO (n=57) / OCS (n=139) | DCO | OCS | t-obtained |
| Average Mark (s) | 5.02 (.73) | 5.04 (.74) | 0.17 |
| Average Comparison Rating (s) | 4.90 (.66) | 5.04 (.80) | 1.17 |
| DCO (n=57) / ROCI (n=16) | DCO | ROCI | t-obtained |
| Average Mark (s) | 5.02 (.73) | 4.86 (.66) | 0.79 |
| Average Comparison Rating (s) | 4.90 (.66) | 4.81 (.66) | 0.49 |
| OCS (n=139) / ROCI (n=16) | OCS | ROCI | t-obtained |
| Average Mark (s) | 5.04 (.74) | 4.86 (.66) | 0.92 |
| Average Comparison Rating (s) | 5.04 (.80) | 4.81 (.66) | 1.11 |

Table 7.1: Statistical Analysis of Performance Variables by Commissioning Source

No significant differences in the performance variables were found across any combination of commissioning sources. Average marks ranged from a low of 4.86 (ROCI) to a high of 5.04 (CGA & OCS), and average comparison ratings from a low of 4.81 (ROCI) to a high of 5.04 (OCS) – all very close to the sample means (5.03 for mark and 5.00 for comparison rating).

Race

To answer the secondary research question, *Are there any significant differences in the performance of Coast Guard officers based on racial or ethnic background?*, the data was sorted by the respondents’ race. The average mark and average comparison rating were compared using an independent sample t-test for the two sample subsets, white and minority⁵, as shown in table 7.2.

| White (n=300) / Minority (n=51) | White | Minority | t-obtained |
|---------------------------------|------------|------------|------------|
| Average Mark (s) | 5.03 (.74) | 4.98 (.75) | 0.45 |
| Average Comparison Rating (s) | 5.04 (.81) | 4.75 (.69) | 2.41 |

Table 7.2: Statistical Analysis by Race

Although the difference between average marks was not significant, the difference between average comparison ratings for the two subsets was found to be significant at the .05 level, as shown in figure 7.2.

⁵ The size of the minority samples precluded any further statistical analysis comparing particular minority groups.

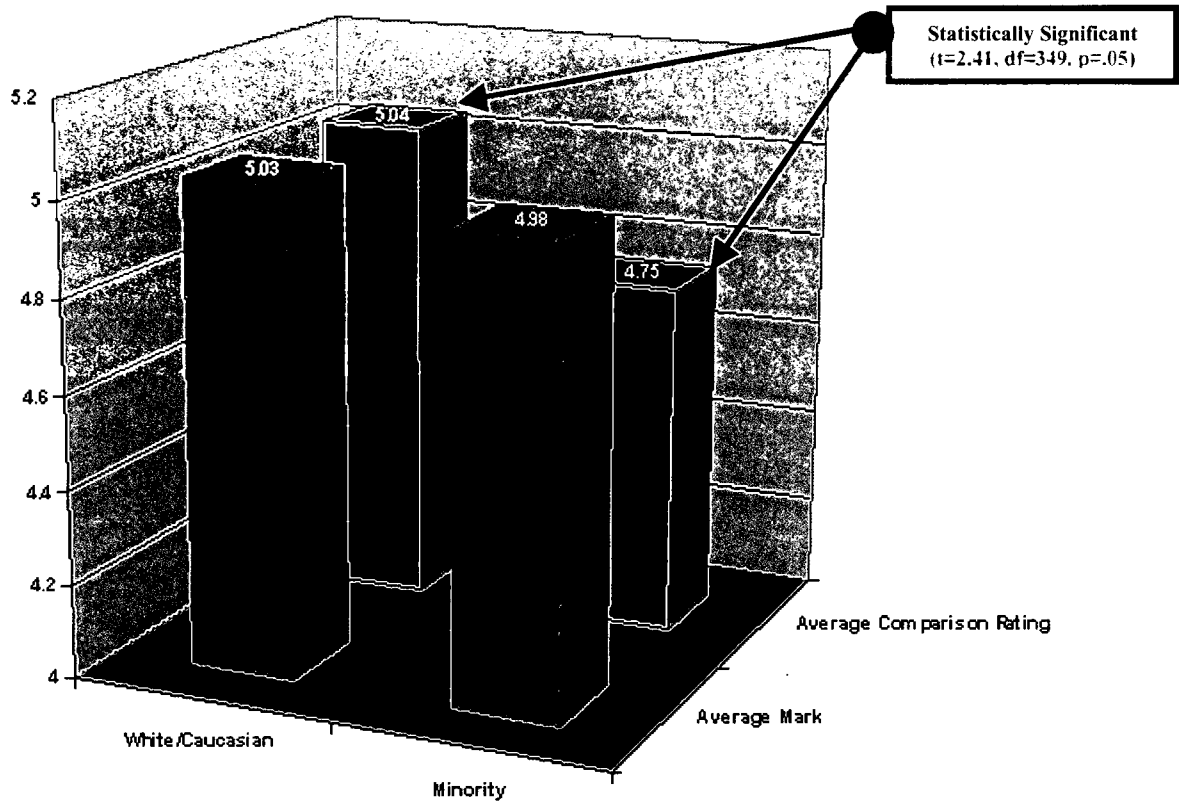


Figure 7.2: Average Performance Variables by Race

Gender

To answer the secondary research question, *Are there any significant differences in the performance of Coast Guard officers based on gender?*, the data was sorted by the respondents' gender. The average mark and average comparison rating were compared using an independent sample t-test for the two sample subsets, male and female, as shown in table 7.3.

| Male (n=266) / Female (n=85) | Male | Female | t-obtained |
|-------------------------------|------------|------------|------------|
| Average Mark (s) | 5.06 (.76) | 4.92 (.74) | 1.49 |
| Average Comparison Rating (s) | 5.06 (.78) | 4.82 (.85) | 2.42 |

Table 7.3: Statistical Analysis by Gender

Although the difference between average marks was not significant, the difference between average comparison ratings for the two subsets was found to be significant at the .05 level, as shown in figure 7.3.

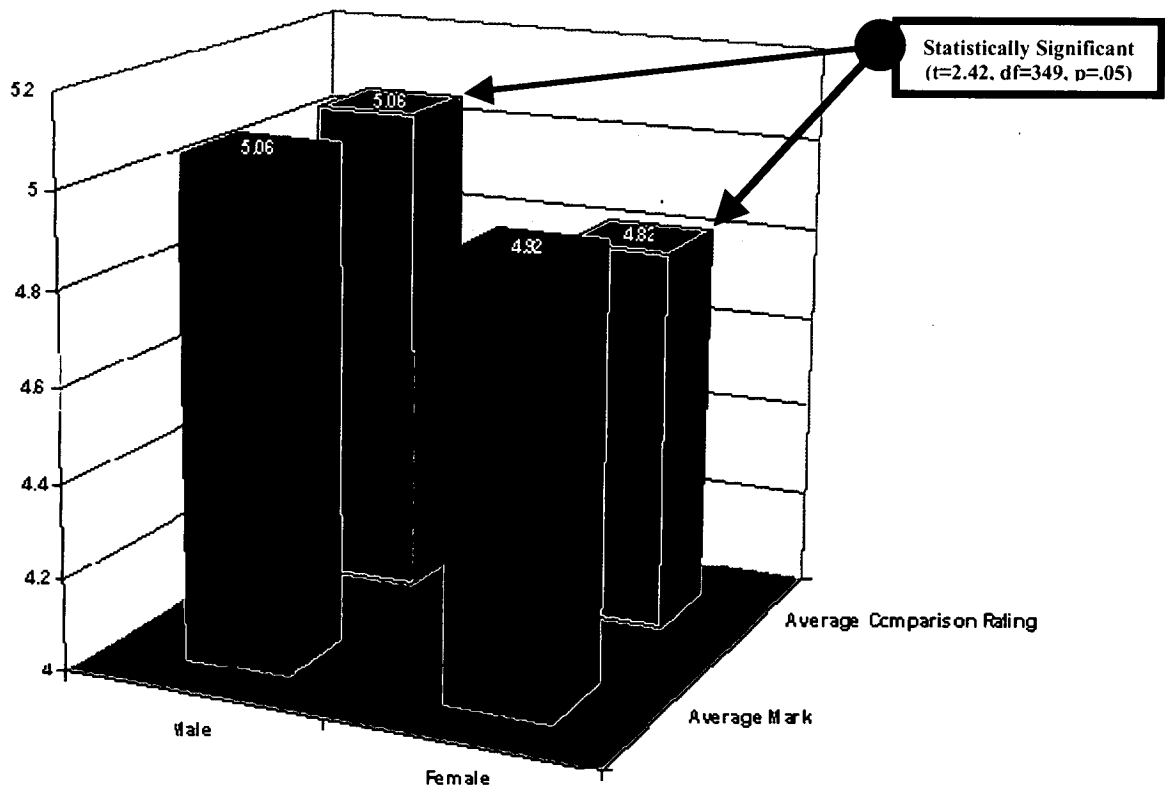


Figure 7.3: Average Performance Variables by Gender

Age

To answer the secondary research question, *Are there any significant differences in the performance of Coast Guard officers based on age?*, the data was sorted by the respondents' age. The average mark and average comparison rating were compared using an independent sample t-test for four different sample subsets. Due to the size of the sample subsets, the data was sorted and compared in two ways. The first comparison looked at two age groups: 30 and below and over 30, as shown in table 7.4.

| 18-30 (n=285) / 31-42 (n=66) | 18-30 | 31-42 | t-obtained |
|-------------------------------|------------|------------|------------|
| Average Mark (s) | 5.03 (.76) | 5.01 (.75) | 0.19 |
| Average Comparison Rating (s) | 5.01 (.81) | 4.94 (.78) | 0.64 |

Table 7.4: Statistical Analysis by Age (two subsets)

Because this created a skewed sample (n=285 for the younger group and n=66 for the older group), the data was also sorted and compared using a more equitable distribution of age groups (18-26, 27-30, and 31-42), as shown in table 7.5.

| | | | |
|--------------------------------------|--------------|--------------|-------------------|
| 18-26 (n=176) / 27-30 (n=109) | 18-26 | 27-30 | t-obtained |
| Average Mark (s) | 4.99 (.77) | 5.11 (.77) | 1.28 |
| Average Comparison Rating (s) | 4.94 (.85) | 5.13 (.85) | 1.83 |
| 27-30 (n=109) / 31-42 (n=66) | 27-30 | 31-42 | t-obtained |
| Average Mark (s) | 5.11 (.72) | 5.01 (.75) | 0.88 |
| Average Comparison Rating (s) | 5.13 (.72) | 4.94 (.78) | 1.64 |
| 18-26 (n=176) / 31-42 (n=66) | 18-26 | 31-42 | t-obtained |
| Average Mark (s) | 4.99 (.77) | 5.01 (.75) | 0.18 |
| Average Comparison Rating (s) | 4.94 (.85) | 4.94 (.78) | 0 |

Table 7.5: Statistical Analysis by Age (three subsets)

No significant differences in the performance variables were found across any combination of age groups. Average marks ranged from a low of 4.99 (18-26 year olds) to a high of 5.11 (27-30 year olds), and average comparison ratings from a low of 4.94 (18-26 year olds and 31-42 year olds) to a high of 5.13 (27-30 year olds) – all very close to the sample means (5.03 for mark and 5.00 for comparison rating).

First Tour Assignment

To answer the secondary research question, *Are there any significant differences in the performance of Coast Guard officers based on first tour assignment?*, the data was sorted by the respondents’ first-tour assignments. Subsets based on this variable included: Afloat, Ashore – Aviation, Ashore – Marine Safety, Ashore – Operations, and Ashore – Staff. Due to the relatively small sample sizes for the Ashore subsets, a sixth category, Ashore - Combined, was included as well. The average mark and average comparison rating were compared using an independent sample t-test for the fifteen possible combinations of these sample subsets, as shown in table 7.6.

| | | | |
|-----------------------------------------------------------|----------------------|----------------------|-------------------|
| Afloat (n=166) / Ashore Combined (n=185) | Afloat | Ashore Comb. | t-obtained |
| Average Mark (s) | 5.03 (.78) | 5.03 (.73) | 0 |
| Average Comparison Rating (s) | 4.97 (.86) | 5.03 (.75) | 0.7 |
| Afloat (n=166) / Aviation (n=17) | Afloat | Aviation | t-obtained |
| Average Mark (s) | 5.03 (.78) | 4.99 (.75) | 0.2 |
| Average Comparison Rating (s) | 4.97 (.86) | 4.94 (.66) | 0.14 |
| Afloat (n=166) / Marine Safety (n=53) | Afloat | Marine Safety | t-obtained |
| Average Mark (s) | 5.03 (.78) | 5.03 (.72) | 0 |
| Average Comparison Rating (s) | 4.97 (.86) | 4.98 (.71) | 0.08 |
| Afloat (n=166) / Ashore Operations (n=37) | Afloat | Ashore Ops | t-obtained |
| Average Mark (s) | 5.03 (.78) | 4.95 (.73) | 0.57 |
| Average Comparison Rating (s) | 4.97 (.86) | 5.00 (.85) | 0.19 |
| Afloat (n=166) / Staff (n=46) | Afloat | Staff | t-obtained |
| Average Mark (s) | 5.03 (.78) | 5.06 (.74) | 0.23 |
| Average Comparison Rating (s) | 4.97 (.86) | 5.09 (.76) | 0.86 |
| Ashore Combined (n=185) / Aviation (n=17) | Ashore Comb. | Aviation | t-obtained |
| Average Mark (s) | 5.03 (.73) | 4.99 (.75) | 0.22 |
| Average Comparison Rating (s) | 5.03 (.75) | 4.94 (.66) | 0.48 |
| Ashore Combined (n=185) / Marine Safety (n=53) | Ashore Comb. | Marine Safety | t-obtained |
| Average Mark (s) | 5.03 (.73) | 5.03 (.72) | 0 |
| Average Comparison Rating (s) | 5.03 (.75) | 4.98 (.71) | 0.61 |
| Ashore Combined (n=185) / Ashore Operations (n=37) | Ashore Comb. | Ashore Ops | t-obtained |
| Average Mark (s) | 5.03 (.73) | 4.95 (.73) | 0.61 |
| Average Comparison Rating (s) | 5.03 (.75) | 5.00 (.85) | 0.22 |
| Ashore Combined (n=185) / Staff (n=46) | Ashore Comb. | Staff | t-obtained |
| Average Mark (s) | 5.03 (.73) | 5.06 (.74) | 0.25 |
| Average Comparison Rating (s) | 5.03 (.75) | 5.09 (.76) | 0.48 |
| Aviation (n=17) / Marine Safety (n=53) | Aviation | Marine Safety | t-obtained |
| Average Mark (s) | 4.99 (.75) | 5.03 (.72) | 0.2 |
| Average Comparison Rating (s) | 4.94 (.66) | 4.98 (.71) | 0.21 |
| Aviation (n=17) / Ashore Operations (n=37) | Aviation | Ashore Ops | t-obtained |
| Average Mark (s) | 4.99 (.75) | 4.95 (.73) | 0.19 |
| Average Comparison Rating (s) | 4.94 (.66) | 5.00 (.85) | 0.26 |
| Aviation (n=17) / Staff (n=46) | Aviation | Staff | t-obtained |
| Average Mark (s) | 4.99 (.75) | 5.06 (.74) | 0.33 |
| Average Comparison Rating (s) | 4.94 (.66) | 5.09 (.76) | 0.72 |
| Marine Safety (n=53) / Ashore Operations (n=37) | Marine Safety | Ashore Ops | t-obtained |
| Average Mark (s) | 5.03 (.72) | 4.95 (.73) | 0.52 |
| Average Comparison Rating (s) | 4.98 (.71) | 5.00 (.85) | 0.12 |
| Marine Safety (n=53) / Staff (n=46) | Marine Safety | Staff | t-obtained |
| Average Mark (s) | 5.03 (.72) | 5.06 (.74) | 0.2 |
| Average Comparison Rating (s) | 4.98 (.71) | 5.09 (.76) | 0.74 |
| Ashore Operations (n=37) / Staff (n=46) | Ashore Ops | Staff | t-obtained |
| Average Mark (s) | 4.95 (.73) | 5.06 (.74) | 0.68 |
| Average Comparison Rating (s) | 5.00 (.85) | 5.09 (.76) | 0.51 |

Table 7.6: Statistical Analysis by First-Tour Assignment

No significant differences in the performance variables were found across any combination of first-tour assignments. Average marks ranged from a low of 4.95 (Ashore - Operations) to a high of 5.06 (Ashore - Staff), and average comparison ratings from a low of 4.94 (Ashore - Aviation) to a high of 5.09 (Ashore - Staff) – all very close to the sample means (5.03 for mark and 5.00 for comparison rating).

Conclusion

This analysis clearly indicates that there are no statistically significant differences in the performance of Coast Guard officers that are attributable to commissioning source. Thus, the research hypothesis for this study was rejected and the null hypothesis accepted. It would appear that, despite drastic differences in format, duration, and curriculum, the Coast Guard's various officer accession programs prepare officers to meet the performance standards documented in the OER equally well.

Further, no statistically significant differences in *average marks* were found that could be attributed to race, gender, age, or first-tour assignment, nor were any significant differences in *average comparison ratings* found that could be attributed to age or first-tour assignment.

There were, however, some notable differences found in the *average comparison ratings* of women and minorities compared to those of their non-minority and male counterparts. While I acknowledge that these were relatively small differences found in relatively small samples, they were nonetheless significant at the .05 level and, at the very least, warrant further study.

VIII. Conclusions and Recommendations

Conclusions

One could interpret my findings in one of three ways:

1. *Women and minorities do, in fact, perform at a level that is somewhat below that of their male and non-minority counterparts.* This seems highly unlikely, and is not supported by my data, especially given that no significant difference was found in the average marks of women and minorities compared to their peers.
2. *The Coast Guard fosters an organizational culture that is biased against women and minorities.* In my experience, this is not the case. The Coast Guard displays a strong leadership commitment to diversity, human relations, and the prevention of sexual harassment in the workplace, as well as a strong track record when it comes to female officers in the most senior ranks.
3. *The Coast Guard's Officer Evaluation System is flawed, and allows racial and sexual biases to be transcribed as differences in performance.* While this might very well be happening, it would be a symptom, not a cause. To get to the root of the problem, one must look deeper.
4. *There is nothing wrong with the Coast Guard's Officer Evaluation System or its organizational culture. These findings represent a common psychosocial phenomenon ("tokenism") that has been observed and documented in many other large organizations (Kanter 1977, Pershing 2001, Pazy & Oron 2001, et. al.).*
Based on my decade of experience with the Coast Guard, I find this explanation the most acceptable.

More often than not, women and minorities account for far less than ten percent of the personnel at a Coast Guard unit. Units where they do account for more than ten percent tend to be staff or other ashore assignments where female and minority members may not have the same levels of day-to-day interaction, cohabitation, and networking as a smaller unit. Based on this alone, Kanter (1977) and Pazy & Oron (2001) have suggested we should expect to find such discrepancies in officer evaluations. Thus, I want to make it clear I am not condemning the Officer Evaluation Report or questioning the Coast Guard's diversity policies. Both appear to be working.

Nonetheless, my research suggests that one of the greatest threats facing the Coast Guard Officer Evaluation System today is the inequitable application of the officer comparison scale across race and gender boundaries. This discriminator has the potential to have a serious negative impact on promotion and retention of female and minority officers as they increase in rank and promotions become more competitive – reinforcing the proverbial “glass ceiling”.

Policy Recommendations

There are some steps the Coast Guard can take to mitigate these discrepancies. Based on my findings and conclusions, several policy recommendations seem prudent.

These include:

1. *Maximize the throughput of the OCS, ROCI, and DCO programs.* The Coast Guard would enjoy an exponential reduction in training costs for a “product” of apparently equal quality.

2. *Despite its 127-year history, consider these findings in the long-term plans for the Coast Guard Academy. Do we need it? If so, at what level of throughput? Is the American public getting the most for its money by funding the Academy?*⁶
3. *Increase the recruitment of women and minorities.* The research presented in Section V of this paper strongly suggests that the best, if not only, way to *mitigate* tokenism is to *eliminate* it. As long as women and minorities remain token populations, discrepancies in their performance evaluations are likely to persist.
4. *Consider assigning women and minorities in larger concentrations.* Pazy & Oron (2001) suggested that 10% was the threshold at which population subsets cease to suffer the effects of tokenism. In many cases, rather than assign women and minorities on large groups, the Coast Guard has opted to “spread the wealth”, and assign women and minorities in small numbers in the name of diversity⁷. This may not be in the best interest of either group.
5. *Be less secretive with OER statistics.* Though the OER discrepancies I have found could admittedly be attributed to any number of rater or systemic errors, the Coast Guard has neglected to even identify (or perhaps just to advertise) these trends.

Noted Preusse (1998):

We have conspicuously avoided publishing averages for a couple of reasons. First and foremost, doing so would likely lead to the very thing we are trying to prevent [numeric inflation]. Secondly, we don't dwell on the numbers because they don't provide the complete picture of an officer's performance.

⁶ I acknowledge that the Academy, OCS, ROCI, and DCO are not either/or propositions, and all four programs are currently operating at or near capacity. Hence the focus here on *long term* plans.

⁷ There are some noteworthy exceptions to this. For example, some Coast Guard Cutters are staffed by 100% female crews.

On this point I wholeheartedly disagree with Preusse and company. The OES is not a system that can be fixed or improved by headquarters alone, for one simple reason: headquarters doesn't fill out the forms. The best way to mitigate race and gender discrepancies such as the ones I have identified is to make these findings known to the thousands of Supervisors, Reporting Officers, and Reviewers in the field. These individuals cannot be expected to fix a problem they are not being told exists.

In conclusion, I would like to clarify that I still believe the OES is top-notch as far as performance appraisal systems go. As Preusse (1998) wrote: "The bottom line remains that end users of the OER, including assignment officers, selection boards and panel members and personnel specialists, are readily able to make informed personnel management decisions with the information provided in the reports".

But that doesn't mean we can't make them better! With a few minor course changes and a strong commitment to continuous improvement, the Coast Guard's Officer Evaluation System can continue to be "a premiere performance management system".

IX. About the Author



Lieutenant (Junior Grade) Jeff Copeland enlisted in the Coast Guard in 1994. After completing tours aboard the Coast Guard Cutter Thetis in Key West, FL and at Coast Guard Air Station Clearwater, FL, he was selected for the Coast Guard's Pre-Commissioning Program for Enlisted Personnel (PPEP) and graduated with distinction from Eckerd College with a Bachelor of Arts Degree in Management and International Business in January 2002. He graduated from Coast Guard Officer Candidate School and received his commission in June 2002.

Upon graduation from OCS, he was assigned to the Electronic Systems Division of Coast Guard Maintenance and Logistics Command Pacific in Alameda, CA from 2002 to 2004. He is currently serving as Officer in Charge, Detachment Two, U.S. Coast Guard Maritime Safety and Security Team 91107 in Honolulu, HI. He is married to the former Ms. Claire Morgan of South Wales in the United Kingdom. They have two sons, Jackson and Caden.

Lieutenant Copeland expects to receive his Master's Degree in Public Administration from Golden Gate University in the summer of 2004. This paper was his graduate thesis.

X. Works Cited

- Borison, R.R. (1992). "Officer Evaluation System – Roadmap to Success". The Bulletin.
United States Coast Guard.
- Kanter, R. M. (1977). Men and Women of the Corporation. Basic Books.
- Kanter, R. M. (1987). "Men and Women of the Corporation Revisited". Management Review, March 1987.
- Kirby, S. N, Harrell, M .C., & Sloan, J. (2000). "Why Don't Minorities Join Special Forces?". Armed Forces and Society, Summer 2000.
- Kriemeyer, G. E. (1991). The Coast Guardsman's Manual. (8th ed.). Naval Institute Press.
- Pazy, A., & Oron, I. "Sex Proportion and Performance Evaluation Among High-Ranking Military Officers". Journal of Organizational Behavior, September 2001.
- Pershing, J. L. (2001). (2001). "Gender Disparities in Enforcing the Honor Concept at the U. S. Naval Academy". Armed Forces and Society, Spring 2001.
- Preusse, P. A. (1998). "The Officer Evaluation System: A Premier Performance Management System". The Bulletin. United States Coast Guard.
- Quester, A. O., & Gilroy, C. L. (2002). "Women and Minorities in America's Volunteer Military". Contemporary Economic Policy, April 2002.
- United States Coast Guard Academy. Online: www.cga.edu
- United States Coast Guard Academy. Leadership Development Center. Online:
<http://www.cga.edu/lcd/lcd.htm>

United States Coast Guard Academy. Leadership Development Center. Officer Candidate

School. Online:

<http://www.cga.edu/ldc/officercandidateschool/officercandidateschool.htm>

United States Coast Guard Academy. Leadership Development Center. Reserve Officer

Candidate Indoctrination. Online:

<http://www.cga.edu/ldc/reserveofficercandidateindoctr/roci.htm>

United States Coast Guard Academy. Leadership Development Center. Direct

Commission Officer School. Online:

<http://www.cga.edu/ldc/directcommissionofficer/dco.htm>

United States Coast Guard Mission Statement. Online. Available under Fact

File/Missions: <http://www.uscg.mil/hq/g-cp/comrel/factfile/index.htm>

United States Coast Guard Personnel Manual (2002). Available online:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_1000_6A.pdf

United States Code. Title 14. Online. Available: http://uscode.house.gov/title_14.htm

About face

Names, ranks, rates and insignias in each branch of the active duty U.S. armed services.

Commissioned officers

Hold presidential commissions; confirmed in rank by Senate

Company grade

Junior grade in Navy

Field grade

Mid-grade in Navy

| | | | | | | | | | | | |
|--------------------------|-------------------|----------------------|------------|----------------------|--------------------|---------|-------------------------|-------------------------|--------------------|----------------|------------------------------------------------------------|
| Army, Marines, Air Force | Second lieutenant | First lieutenant | Captain | Major | Lieutenant colonel | Colonel | Brigadier general | Major general | Lieutenant general | General | General of the Army (both) General of the Air Force (left) |
| Pay grade | 0-1 (lowest) | 0-2 | 0-3 | 0-4 | 0-5 | 0-6 | 0-7 | 0-8 | 0-9 | 0-10 (highest) | Special |
| Navy | Ensign | Lieutenant Jr. grade | Lieutenant | Lieutenant commander | Commander | Captain | Rear admiral lower half | Rear admiral upper half | Vice admiral | Admiral | Fleet admiral (above left) |

Enlisted personnel

E-1 is lowest pay grade, senior adviser is highest; all sergeants, grade E-5 and up, called noncommissioned officers; Navy equivalent is petty officers

| | | | | | | | | | | |
|-----------|----------------|---------------------|-------------------------|---------------------------|----------------------------|---------------------------|--------------------------|----------------------------|----------------------------|----------------------------------------|
| Army | Private E-1 | Private E-2 | Private first class E-3 | Corporal E-4 | Sergeant E-5 | Staff sergeant E-6 | Sergeant first class E-7 | Master sergeant E-8 | Sergeant major E-9 | Senior adviser |
| Marines | Private | Private first class | Lance corporal | Corporal | Sergeant | Staff sergeant | Sergeant | Master sergeant | Command sergeant major | Sergeant major of the Marine Corps |
| Navy | Seaman recruit | Seaman apprentice | Seaman | Petty officer third class | Petty officer second class | Petty officer first class | Chief petty officer | Senior chief petty officer | Master chief petty officer | Master chief petty officer of the Navy |
| Air Force | Airman basic | Airman | Airman first class | Sergeant senior airman | Staff sergeant | Technical sergeant | Master sergeant | First sergeant | Chief master sergeant | Chief master sergeant of the Air Force |

Warrant officers

Technical experts in various fields; appointed by secretary of Army, Navy or Marines; none in Air Force

| | | | | |
|---------------------------------|----------------------------|-----|-----|-----|
| Warrant officer W-1 (pay grade) | Chief warrant officers W-2 | W-3 | W-4 | W-5 |
| Army | | | | |
| Navy | None | | | |
| Marines | | | | |

General grade

Flag grade in Navy

Special grades

Reserved for wartime

| | | | | | | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|---------------------------------|
| DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-5310 (Rev. 03-03) | <h2 style="margin: 0;">OFFICER EVALUATION REPORT (OER)</h2> | Validation: | | | | | | |
| 1. ADMINISTRATIVE DATA (YYYY/MM/DD) | | | | | | | | |
| a. NAME (Last) (Initials) | b. SSN | c. RESERVE STATUS/DRILLS CONDUCTED <input type="checkbox"/> ADT <input type="checkbox"/> ADSW <input type="checkbox"/> IDT DRILLS | d. GRADE e. DATE OF RANK / / | | | | | |
| f. UNIT | g. ATU - OPFAC | h. DAYS NOT OBSERVED LV OTHER | i. DATE REPORTED / / | | | | | |
| j. PERIOD OF REPORT (YYYY/MM/DD) / / TO / / | k. OCCASION FOR REPORT (Mark only one) <input type="radio"/> Annual/ Semiannual <input type="radio"/> Detachment/Change of Reporting Officer <input type="radio"/> Detachment of Officer <input type="radio"/> Promotion | l. EXCEPTION REPORT <input type="radio"/> Special <input type="radio"/> Concurrent | m. DATE SUBMITTED / / | | | | | |
| 2. DESCRIPTION OF DUTIES: | | | | | | | | |
| ATTACHMENTS: | | | | | | | | |
| 3. PERFORMANCE OF DUTIES: Measures an officer's ability to manage and to get things done. | | | | | | | | |
| a. PLANNING AND PREPAREDNESS: Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and develop strategies. | 1 <input type="radio"/> | Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information. | 3 <input type="radio"/> | Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed. | 5 <input type="radio"/> | Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact. | 7 <input type="radio"/> | NO <input type="radio"/> |
| b. USING RESOURCES: Ability to manage time, materials, information, money, and people (i.e. all CG components as well as external publics). | <input type="radio"/> | Concentrated on unproductive activities or often overlooked critical demands. Failed to use people productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left subordinates without means to accomplish tasks. Employed wasteful methods. | <input type="radio"/> | Effectively managed a variety of activities with available resources. Delegated, empowered, and followed up. Skilled time manager, budgeted own and subordinates' time productively. Ensured subordinates had adequate tools, materials, time and direction. Cost conscious, sought ways to cut waste. | <input type="radio"/> | Unusually skilled at bringing scarce resources to bear on the most critical of competing demands. Optimized productivity through effective delegation, empowerment, and follow-up control. Found ways to systematically reduce cost, eliminate waste, and improve efficiency. | <input type="radio"/> | <input type="radio"/> |
| c. RESULTS/EFFECTIVENESS: Quality, quantity, timeliness and impact of work. | <input type="radio"/> | Routine tasks accomplished with difficulty. Results often late or of poor quality. Work had a negative impact on department or unit. Maintained the status quo despite opportunities to improve. | <input type="radio"/> | Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality; required same of subordinates. Results had a positive impact on department or unit. Continuously improved services and organizational effectiveness. | <input type="radio"/> | Maintained optimal balance among quality, quantity, and timeliness of work. Quality of own and subordinates' work surpassed expectations. Results had a significant positive impact on unit or Coast Guard. Established clearly effective systems of continuous improvement. | <input type="radio"/> | <input type="radio"/> |
| d. ADAPTABILITY: Ability to modify work methods and priorities in response to new information, changing conditions, or unexpected obstacles. | <input type="radio"/> | Unable to gauge effectiveness of work or make adjustments when needed. Overlooked or screened out new information. Overreacted or responded slowly to change in direction or environment. Ineffective in ambiguous, complex, or pressured situations. | <input type="radio"/> | Receptive to change, new information, and technology. Effectively used benchmarks to improve performance and service. Monitored progress and changed course as required. Effectively dealt with pressure and ambiguity. Facilitated smooth transitions. | <input type="radio"/> | Rapidly assessed and adjusted to changing conditions, new information and technology. Very skilled at using and responding to measurement indicators. Championed organizational improvements. Effectively dealt with extremely complex situations. Turned pressure and ambiguity into constructive forces for change. | <input type="radio"/> | <input type="radio"/> |
| e. PROFESSIONAL COMPETENCE: Ability to acquire, apply and share technical and administrative knowledge and skills associated with description of duties. (Includes operational aspects such as marine safety, seamanship, airmanship, SAR, etc., as appropriate.) | <input type="radio"/> | Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. Made little effort to grow professionally. Used knowledge as power against others or bluffed rather than acknowledging ignorance. Effectiveness reduced due to limited knowledge of own organizational role and customer needs. | <input type="radio"/> | Competent and credible authority on specialty or operational issues. Acquired and applied excellent operational or specialty expertise for assigned duties. Showed professional growth through education, training and professional reading. Shared knowledge and information with others clearly and simply. Understood own organizational role and customer needs. | <input type="radio"/> | Superior expertise; advice and actions showed great breadth and depth of knowledge. Remarkable grasp of complex issues, concepts, and situations. Rapidly developed professional growth beyond expectations. Vigorously conveyed knowledge, directly resulting in increased workplace productivity. Insightful knowledge of own role, customer needs, and value of work. | <input type="radio"/> | <input type="radio"/> |
| COMMENTS: | | | | | | | | |

//

| 4. COMMUNICATION SKILLS: Measures an officer's ability to communicate in a positive, clear, and convincing manner. | | | | | | | | |
|--------------------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------|
| a. SPEAKING AND LISTENING: Ability to speak effectively and listen to understand. | 1 <input type="radio"/> | Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. Used inappropriate language or rambled. Nervous or distracting mannerisms detracted from message. Failed to listen carefully or was too argumentative. | 3 <input type="radio"/> | Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding. Listened carefully for intended message as well as spoken words. | 5 <input type="radio"/> | Clearly articulated and promoted ideas before a wide range of audiences; accomplished speaker in both formal and extemporaneous situations. Adept at presenting complex or sensitive issues. Active listener; remarkable ability to listen with open mind and identify key issues. | 7 <input type="radio"/> | N/O <input type="radio"/> |
| b. WRITING: Ability to express facts and ideas clearly and convincingly. | <input type="radio"/> | Written material frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium. | <input type="radio"/> | Written material clear, concise, and logically organized. Proofread conscientiously. Correspondence grammatically correct, tailored to audience, and delivered by an appropriate medium. Subordinates' material reflected same high standards. | <input type="radio"/> | Clearly and persuasively expressed complex or controversial material, directly contributing to stated objectives. Written or published material brought credit to the Coast Guard. Actively educated subordinates in effective writing. | <input type="radio"/> | <input type="radio"/> |
| COMMENTS: | | | | | | | | |

| 5. LEADERSHIP SKILLS: Measures an officer's ability to support, develop, direct, and influence others in performing work. | | | | | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------|
| a. LOOKING OUT FOR OTHERS: Ability to consider and respond to others' personal needs, capabilities, and achievements; support for and application of work-life concepts and skills. | 1 <input type="radio"/> | Seldom recognized or responded to needs of people; left outside resources untapped despite apparent need. Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates. | 3 <input type="radio"/> | Cared for people. Recognized and responded to their needs; referred to outside resources as appropriate. Considered individuals' capabilities to maximize opportunities for success. Consistently recognized and rewarded deserving subordinates. | 5 <input type="radio"/> | Always accessible. Enhanced overall quality of life. Actively contributed to achieving balance among unit requirements, professional and personal responsibilities. Strong advocate for subordinates; ensured appropriate and timely recognition, both formal and informal. | 7 <input type="radio"/> | N/O <input type="radio"/> |
| b. DEVELOPING OTHERS: Ability to use coaching, counseling, and training to provide opportunities for others' professional development. | <input type="radio"/> | Unreasonably restricted opportunities for professional growth; kept others in narrow roles and discouraged the level of risk-taking necessary for learning. Lack of timely feedback left subordinates guessing. | <input type="radio"/> | Supported and provided opportunities for professional growth. Encouraged others to expand their roles, handle important tasks and learn by doing. Allowed the appropriate level of risk-taking necessary for learning and mission accomplishment. Provided timely praise and constructive feedback. | <input type="radio"/> | Created challenging situations which optimized professional development and maximized opportunity for success. Guided, coached, and encouraged others to reach new levels of performance. Adeptly counseled others; identified professional potential, strengths and areas for improvement. | <input type="radio"/> | <input type="radio"/> |
| c. DIRECTING OTHERS: Ability to influence or direct others in accomplishing tasks or missions. | <input type="radio"/> | Showed difficulty in directing or influencing others. Low or unclear work standards reduced productivity. Failed to hold subordinates accountable for shoddy work or irresponsible actions. Unwilling to delegate authority to increase efficiency of task accomplishment. | <input type="radio"/> | A leader who earned others' support and commitment. Set high work standards; clearly articulated job requirements, expectations and measurement criteria; held subordinates accountable. When appropriate, delegated authority to those directly responsible for the task. | <input type="radio"/> | An inspirational leader who motivated others to achieve results not normally attainable. Won people over rather than imposing will. Clearly articulated vision; empowered subordinates to set goals and objectives to accomplish tasks. Modified leadership styles to best meet challenging situations. | <input type="radio"/> | <input type="radio"/> |
| d. TEAMWORK: Ability to manage, lead and participate in teams, encourage cooperation, and develop esprit de corps. | <input type="radio"/> | Used teams ineffectively or at wrong times. Conflicts mismanaged or often left unresolved, resulting in decreased team effectiveness. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross functional cooperation to the detriment of unit or service goals. | <input type="radio"/> | Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision process. Valued team participant. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals. | <input type="radio"/> | Insightful use of teams raised unit productivity beyond expectations. Inspired high level of esprit de corps, even in difficult situations. Major contributor to team effort. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level. | <input type="radio"/> | <input type="radio"/> |
| e. WORKPLACE CLIMATE: Ability to value individual differences and promote an environment of involvement, innovation, open communication and respect. | <input type="radio"/> | Intolerant of individual differences, exhibited discriminatory tendencies toward others. Tolerated or contributed to an uncomfortable or degrading environment. Failed to take responsibility for own words and actions and their impact on others. Failed to support or enforce Coast Guard human resources policies. | <input type="radio"/> | Sensitive to individual differences. Encouraged open communication and respect. Promoted an environment which values fairness, dignity, creativity, and diverse perspectives. Took responsibility for own words and actions and their impact on others. Fully supported and enforced Coast Guard human resources policies. | <input type="radio"/> | Excelled at creating an environment of fairness, candor, and respect among individuals of diverse backgrounds and positions. Optimized use of different perspectives and opinions. Quickly took action against behavior inconsistent with Coast Guard human resources policies, or which detracted from mission accomplishment. | <input type="radio"/> | <input type="radio"/> |
| f. EVALUATIONS: The extent to which an officer, as Reported-on Officer and rater, conducted or required others to conduct accurate, timely evaluations for enlisted, civilian and officer personnel. | <input type="radio"/> | Reports were frequently late. Narratives inaccurate or of poor quality. Failed to uphold service performance standards by assigning accurate marks. Reports required revision or intervention by others. Failed to meet own OES responsibilities as Reported-on Officer. | <input type="radio"/> | Reports consistently submitted on time. Narratives were fair, concise, and contained specific observations of action and impact. Assigned marks against standards. Few reports, if any, returned for revision. Met own OES responsibilities as Reported-on Officer. | <input type="radio"/> | No reports submitted late. Narratives were insightful, of the highest quality, and always supported assigned marks. Subordinates' material reflected same high standards. No reports returned for revision. Returned reports to subordinates when appropriate. | <input type="radio"/> | <input type="radio"/> |
| COMMENTS: | | | | | | | | |

| 6. SUPERVISOR AUTHENTICATION | | | | | (YYYY/MM/DD) |
|------------------------------|----------|--------|----------------------|---------|--------------|
| a. NAME AND SIGNATURE | b. GRADE | c. SSN | d. TITLE OF POSITION | e. DATE | / / |

//

7. REPORTING OFFICER COMMENTS: Provide additional information to supplement or amplify the Supervisor's evaluation.

8. PERSONAL AND PROFESSIONAL QUALITIES: Measures selected qualities which illustrate the individual's character.

| | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| <p>a. INITIATIVE: Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance and supervision.</p> | <p>1 Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Feasible improvements in methods, services, or products went unexplored.</p> | <p>3 Championed improvement through new ideas, methods, and practices; self-starter. Anticipated problems and took prompt action to avoid or resolve them. Sought opportunities for own career development. Pursued productivity gains and enhanced mission performance by applying new ideas and methods.</p> | <p>5 Aggressively sought out additional responsibility. A self-learner. Made worthwhile ideas and practices work when others might have given up. Extremely innovative. Optimized use of new ideas and methods to improve work processes, decision-making, and service delivery.</p> | <p>7 NO</p> |
| <p>b. JUDGMENT: Ability to make sound decisions and provide valid recommendations by using facts, experience, common sense, and analytical thought.</p> | <p>Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations.</p> | <p>Demonstrated analytical thought and common sense in making decisions. Used facts, data, and experience, and considered the impact of alternatives. Weighed risk, cost and time considerations. Made sound decisions promptly with the best available information.</p> | <p>Combined keen analytical thought and insight to make appropriate decisions. Focused on the key issues and the most relevant information, even in complex situations. Did the right thing at the right time. Actions indicated awareness of impact and implications of decisions on others.</p> | |
| <p>c. RESPONSIBILITY: Ability to act ethically, courageously, and dependably and inspire the same in others; accountability for own and subordinates' actions.</p> | <p>Actions demonstrated questionable ethics or lack of commitment. Tolerated indifference or failed to hold subordinates accountable. Allowed organization to absorb personnel problems rather than confronting them as required. Tended not to speak up or get involved. Provided minimal support for decisions counter to own ideas.</p> | <p>Held self and subordinates personally and professionally accountable. Spoke up when necessary, even when expressing unpopular positions. Supported organizational policies and decisions which may have been counter to own ideas. Committed to the successful achievement of organizational goals.</p> | <p>Integrity and ethics beyond reproach. Always held self and subordinates to highest standards of personal and professional accountability. Did the right thing even when it was difficult. Succeeded in making even unpopular policies or decisions work. Actions demonstrated unwavering commitment to achievement of organizational goals.</p> | |
| <p>d. PROFESSIONAL PRESENCE: Ability to bring credit to the Coast Guard through one's actions, competence, demeanor, and appearance.</p> | <p>Unaware of general CG objectives; uncooperative or biased in interactions. Lost composure in difficult situations. Conveyed poor image of self and CG. Ignorant of or sloppy with common military courtesies. Uniform appearance and grooming below standard.</p> | <p>Knowledgeable in how CG objectives serve the public; cooperative and fair in all interactions. Composed in difficult situations. Conveyed positive image of self and CG. Well versed in military etiquette; precise in rendering and upholding military courtesies. Great care in uniform appearance and grooming.</p> | <p>Always self-assured, projected ideal CG image. Poised in response to others' provocative actions. Contributed leadership role in civilian/military community. Exemplified finest traditions of military customs and protocol. Meticulous uniform appearance and grooming; inspired similar standards in others.</p> | |
| <p>e. HEALTH AND WELL-BEING: Ability to invest in the Coast Guard's future by caring for the physical health and emotional well-being of self and others.</p> | <p>Failed to meet minimum standards of weight control or sobriety. Tolerated or condoned others' alcohol abuse. Seldom considered subordinates' health and well-being. Unwilling or unable to recognize and manage stress despite apparent need.</p> | <p>Maintained weight standards. Committed to health and well-being of self and subordinates. Enhanced personal performance through activities supporting physical and emotional well-being. Recognized and managed stress effectively.</p> | <p>Remarkable vitality, enthusiasm, alertness and energy. Consistently contributed at high levels. Optimized personal performance through involvement in activities which supported physical and emotional well-being. Monitored and helped others deal with stress, enhance health and well-being.</p> | |

COMMENTS:

9. COMPARISON SCALE (FOR GRADES W2 TO O2): Compare this officer with others of the same grade whom you have known in your career.

| | | | | |
|-----------------------|-----------------------|-----------------------------------------------------------------------------|------------------------|-------------------------|
| UNSATISFACTORY | A QUALIFIED OFFICER | ONE OF THE MANY COMPETENT PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE | AN EXCEPTIONAL OFFICER | A DISTINGUISHED OFFICER |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

10. POTENTIAL: Describe ability to assume greater leadership roles and responsibilities (e.g. command, special assignment, promotion, and special skills).

11. REPORTING OFFICER AUTHENTICATION (YYYY/MM/DD)

| | | | | |
|-----------------------|----------|--------|----------------------|---------|
| a. NAME AND SIGNATURE | b. GRADE | c. SSN | d. TITLE OF POSITION | e. DATE |
|-----------------------|----------|--------|----------------------|---------|

12. REVIEWER AUTHENTICATION

| | | | | | |
|-----------------------|----|----------------------------------------------------------------------------------------------------------|--|--|---------|
| b. NAME AND SIGNATURE | a. | COMMENTS ATTACHED (Required when the Reporting Officer is not a Coast Guard Officer or Coast Guard SES.) | | | f. DATE |
|-----------------------|----|----------------------------------------------------------------------------------------------------------|--|--|---------|

| | | | | |
|-----------------------|----------|--------|----------------------|---------|
| b. NAME AND SIGNATURE | c. GRADE | d. SSN | e. TITLE OF POSITION | f. DATE |
|-----------------------|----------|--------|----------------------|---------|

INSTRUCTIONS

PURPOSE: The Officer Evaluation Report (OER) primarily provides information for officer corps promotion, selection, and assignment determinations. Secondary purposes include: (1) prescribing common standards of expected performance; (2) reinforcing Coast Guard values; and (3) acting as one means of performance feedback for the Reported-on Officer.

GUIDING INSTRUCTION: Chapter 10-A of the CG Personnel Manual, COMDTINST M1000.6 (series), contains all official guidance on OES requirements.

RESPONSIBILITIES: All Coast Guard officers and raters of CG officers should be aware of their OES responsibilities as outlined in the CG Personnel Manual.

SUBMISSION SCHEDULE:

| Grade | Active Duty | IDPL |
|----------------------------|-------------|------|
| Captain | Apr | Apr |
| Commander | Mar | Mar |
| Lieutenant Commander | Apr | Apr |
| Lieutenant | May | May |
| Lieutenant (Junior Grade) | Jan and Jul | Jul |
| Ensign | Mar and Sep | Sep |
| Chief Warrant Officer (W4) | Apr | Apr |
| Chief Warrant Officer (W3) | Jul | Jul |
| Chief Warrant Officer (W2) | Jun | Jun |

Notes:

(1) An OER period may be extended for up to 92 days (semiannual) under certain conditions. Consult PERSMAN for further guidance.

(2) OERs for IDPL grades of CAPT, LTJG, and ENS are annual. All other IDPL OERs are biennial.

(3) Officers assigned to DUINS follow an annual/semiannual schedule according to school terms.

TIMELINE:

21 days before end of period:
Reported-on Officer submits to Supervisor a list of significant accomplishments during the period, supporting documents (as required), administrative data required for OER Section 1, and a completed OER page 4.

10 days after the period:
Supervisor sections of OER due to Reporting Officer.

30 days after the period:
Supervisor and Reporting Officer sections due to Reviewer.
Reviewer sends completed OER to OER Administrator.

45 days after the period:
OER due to CGPC for review and entry into official record.

RESTRICTIONS:

Raters shall not mention a Reported-on Officer's: (1) First name; (2) Non-selection for promotion, including allusions thereto; (3) Record appeals; (4) Psychological or medical conditions; (5) marital or family status (including pregnancy); or (6) Performance observed outside the reporting period. Raters also shall not: (1) Expressly evaluate or place emphasis on gender, religion, color, race, or ethnic background (applies to both member and third parties); (2) Refer to any third party by name; or (3) Include information which is subject to a security classification. See PERSMAN for additional restrictions that apply to disciplinary proceedings.

PREPARATION CHECKLIST (OPTIONAL):

Administrative Data and Description of Duties (Sections 1 and 2):

___ All fields completed (enter dates in YYYY/MM/DD format; enter only one occasion for report, leave 1.c. blank if active duty).

___ Primary duty underlined or capitalized (no other text enhancements, such as underlining, bolding, or all capital letters, are allowed throughout the OER).

___ Attachments listed (only personal award citations, punitive letters, or letter reports for senior service school allowed).

Performance Evaluation (Sections 3-5 and 7-8)

___ Marks assigned according to standards which most closely describe Reported-on Officer's performance during the period.

___ Specific examples cited for each mark which deviated from "4". When applicable, comments on seamanship or airmanship ability are distinct.

Comparison or Rating Scale and Potential (Sections 9 and 10):

___ Section 9 mark assigned according to the instructive clause on the form.

___ Comments describe Reported-on Officer's overall potential for greater responsibility (include, as appropriate, recommendations for promotion, special assignment, and command).

TIPS FOR EFFECTIVE COMMENTS:

1. Be specific.

Concisely describe the performance by relating the action observed and its impact; quantify the action whenever possible and explain why it was important; avoid empty superlatives. Do not repeat the dimensions.

2. Save space.

Use information bullets; reduce the use of pronouns; use member's name sparingly, if at all; use action verbs and semicolons; and avoid excess words. Acronyms and abbreviations are effective only if they are common to all Coast Guard communities or are initially defined in the comments.

3. Be clear.

Don't lose the meaning; watch for cryptic comments.

13. RETURN ADDRESS. (Name and address to which a copy is sent after filing the original in the officer's record.)

| | |
|-------------------------------------------------------------------------|-------------------------------------------------------------------------|
| <div style="border: 1px solid black; width: 100%; height: 100%;"></div> | <div style="border: 1px solid black; width: 100%; height: 100%;"></div> |
|-------------------------------------------------------------------------|-------------------------------------------------------------------------|

14. OER ADMINISTRATOR REVIEW:

a. Initials: _____ b. Date: _____

PRIVACY ACT STATEMENT

This information is requested under the authority of 14 U.S.C. 833 to determine an officer's suitability for promotion or job assignment. Submitting this information is mandatory. Failure to provide it could adversely affect promotion opportunities and job assignments or lead to disciplinary action.



Coast Guard Officer Performance Survey

1) What is your current rank?

- Ensign
- Lieutenant Junior Grade
- Lieutenant
- Other (please specify)

If you selected other, please specify:

2) What is your gender?

- Male
- Female

3) What is your age?

- 18-22
- 23-26
- 27-30
- 31-34
- 35-38
- 39-42
- 43-45

4) What is your commissioning source?

- | | |
|-----------------------------------------------------------------|------------------------------------------------------------|
| <input type="checkbox"/> Coast Guard Academy | <input type="checkbox"/> Direct Commission - Legal |
| <input type="checkbox"/> OCS - Prior Enlisted (Coast Guard) | <input type="checkbox"/> Direct Commission - MARGRAD |
| <input type="checkbox"/> OCS - Prior Enlisted (Other Service) | <input type="checkbox"/> Direct Commission - ROTC |
| <input type="checkbox"/> OCS - Prior Civilian | <input type="checkbox"/> Direct Commission - Other Service |
| <input type="checkbox"/> Reserve Officer Candidate Indoc (ROCI) | <input type="checkbox"/> Direct Commission - Medical |
| <input type="checkbox"/> Direct Commission - Aviation | <input type="checkbox"/> Direct Commission - Environmental |
| <input type="checkbox"/> Direct Commission - Engineering | <input type="checkbox"/> Other (please specify) |

If you selected other, please specify:

Additional comments:

5) What is your date of commissioning?

Format: YYYY-MM-DD

6) Which selection best describes your current duty station?

- | | |
|---------------------------------------------------------------------------|----------------------------------------------------------------------------|
| <input type="checkbox"/> Afloat - WAGB | <input type="checkbox"/> Ashore - Engineering (MLC, SMEF, ESU, NESU, etc.) |
| <input type="checkbox"/> Afloat - WHEC, WMEC | <input type="checkbox"/> Ashore - Support/Admin (MLC, ISC, etc.) |
| <input type="checkbox"/> Afloat - Patrol Boat | <input type="checkbox"/> Ashore - Aviation |
| <input type="checkbox"/> Afloat - WLB, WLM, WLI | <input type="checkbox"/> Ashore - Intelligence |
| <input type="checkbox"/> Afloat - Other | <input type="checkbox"/> Ashore - Other |
| <input type="checkbox"/> Ashore - Operations (Group, MSST, Station, etc.) | <input type="checkbox"/> Duty Under Instruction (DUINS) |
| <input type="checkbox"/> Ashore - Marine Safety | <input type="checkbox"/> Other (please specify) |
| <input type="checkbox"/> Ashore - Staff (CGHQ, Area, District, etc.) | |

If you selected other, please specify:

Additional comments:

7) What is your racial/ethnic background?

- Native Hawaiian or Pacific Islander
- Native American / Alaskan
- African American
- White / Caucasian
- Asian
- Hispanic or Latino
- Other (please specify)

If you selected other, please specify:

Additional comments:

11) Please proofread the information you entered above and validate your survey by selecting the following button prior clicking on "Submit Survey":

I hereby certify that the above information is accurate and that the OER data entered exactly matches the data contained in my OER records as held by CGPC (OPM-3).

If you have any questions or concerns regarding my research project, please don't hesitate to contact me via e-mail at hcopeland@d11.uscg.mil or telephone at 510-437-5606. Thank you for participating!

Submit Survey

| Count | OR Rank | Gender | Age | Source | DOR | Station | Race | Health & Well Being | Professional Presence | Responsibility | Judgment | Initiative | Evaluations | Workplace Climate | Teamwork | Directing Others | Developing Others | Looking out for Others | Writing | Speaking & Listening | Professional Competence | Adaptability | Results/Effectiveness | Using Resources | Planning & Preparedness | Average Mark | |
|-------|---------|----------------------------------------|-------|--------|----------|------------------------------------------------|-------------------|---------------------|-----------------------|----------------|----------|------------|-------------|-------------------|----------|------------------|-------------------|------------------------|---------|----------------------|-------------------------|--------------|-----------------------|-----------------|-------------------------|--------------|------|
| 1 | 1 | Reserve Officer Candidate Indoc (ROCI) | 23-36 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 | |
| 1 | 1 | Reserve Officer Candidate Indoc (ROCI) | 23-36 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Prior Civilian | 31-34 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Prior Civilian | 23-36 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Prior Civilian | 23-36 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Prior Civilian | 23-36 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 31-34 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 31-34 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Male | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |
| 1 | 1 | Leutenant Junior Grade | 18-22 | Female | 20030276 | Asst. - Operations (Group, MSST, Station, etc) | White / Caucasian | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 4.28 |

Appendix D (Raw Data) Grade

Table with columns for Grade, Name, Sex, Position, Agency, and ID. The table lists numerous individuals, including Ensigns, Lieutenants, and various staff members across different agencies like Coast Guard Academy and various OCS units.

RECEIVED

OCT - 1 2008

Golden Gate University, Univ. Library
536 Mission St., San Francisco, CA 94105