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

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United States Coast Guard

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COMDTNOTE 1000
JUN 18 2007

COMMANDANT NOTICE 1000

CANCELLED: JUN 17 2008

Subj: CH-41 TO PERSONNEL MANUAL, COMDTINST M1000.6A

1. PURPOSE. This Notice publishes a change to the Personnel Manual. This Notice is applicable to all active and reserve Coast Guard members and other Service members assigned to duty within the Coast Guard.

2. ACTION. Area, district, and sector commanders, commanders of maintenance and logistics commands, commanding officers of integrated support commands, commanding officers of headquarters units, assistant commandants for directorates, Judge Advocate General, and chiefs of special staff offices at Headquarters shall ensure compliance with the provisions of this Notice. No paper distribution will be made of this Notice. Internet release is authorized.

3. DISCUSSION. No paper distribution will be made of this Notice. Official distribution will be via the Coast Guard Directives System CD-ROM. An electronic version will be located on the Coast Guard Directives System Intranet site at: http://cgweb2.comdt.uscg.mil/CGDirectives/Welcome.htm CG Central at: http://cgcentral.uscg.mil/ (once in CG Central, click on the resources tab then directives) and on the internet at: http://www.uscg.mil/ccs/cit/cim/directives/Welcome.htm . An electronic version has also been posted on the Commandant (CG-1221) website at www.uscg.mil/hq/g-w/g-wp/g-wpm/WPM-1.htm.

4. DIRECTIVES AFFECTED. None.

5. SUMMARY. Enclosure (1) summarizes the substantial changes throughout the Manual provided as enclosure (2). Any pages inadvertently omitted from the "Remove" column in previous changes should be discarded as obsolete.

6. PROCEDURES. Remove and insert the following pages:

| Remove | Insert |
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| 1.A. Pages 11-12 | 1.A. Pages 11-14 |

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NON-STANDARD DISTRIBUTION: See action paragraph.

Subj: CH-41 TO PERSONNEL MANUAL, COMDTINST M1000.6A

| | |
|---|---|
| 1.B. Page 5-6 | 1.B. Page 5-6 |
| 1.C. Pages 1-7 | 1.C. Pages 1-6 |
| Exh. 1.C.1. Page 1 | Exh. 1.C.1. Page 1 |
| Contents 1.D. Pages 1-2 | Contents 1.D. Pages 1-2 |
| 1.D. Pages 1-33 | 1.D. Pages 1-34 |
| 1.G. Pages 9-14 | 1.G. Pages 9-14 |
| Contents Chapter 3 | Contents Chapter 3 |
| 3.C. Pages 4-5 | 3.C. Pages 4-5 |
| | Contents Chapter 3.E. |
| | 3.E. Pages 1-14 |
| | Contents Chapter 3.F. |
| | 3.F. Pages 1-6 |
| Contents Chapter 4 | Contents Chapter 4 |
| Contents Chapter 4.A. | Contents Chapter 4.A. |
| 4.A. Pages 7-14 | 4.A. Pages 7-14 |
| 4.A. Pages 33-34 | 4.A. Pages 33-36 |
| 4.B. Pages 9-10 | 4.B. Pages 9-10 |
| Contents Chapter 4.C. | Contents Chapter 4.C |
| | 4.C. Pages 35-36 |
| 4.H. Pages 3-18 | 4.H. Pages 3-18 |
| Exhibit 4.H.1. | Exhibit 4.H.1 |
| Exhibit 4.H.2. | Exhibit 4.H.2. |
| Exhibit 4.H.3. | Exhibit 4.H.3 |
| 5.A. Pages 7-8 | 5.A. Pages 7-8 |
| 5.C. Pages 1-51 | 5.C. Pages 1-52 |
| | Contents Chapter 5.E. |
| 5.E. Page 1-3 | 5.E. Page 1-2 |
| 7.A. Pages 21-22 | 7.A. Pages 21-22 |
| 8.B. Pages 1-4 | 8.B. Pages 1-4 |
| 8.D. Pages 1-3 | 8.D. Pages 1-4 |
| Contents Chapter 10.A. | Contents Chapter 10.A. |
| 10.A. Pages 1-61 | 10.A. Pages 1-64 |
| Contents Chapter 10.B. | Contents Chapter 10.B. |
| 10.B. Pages 5-23 | 10.B. Pages 5-24 |
| Contents Chapter 12.A. | Contents Chapter 12.A. |
| 12.A. Pages 9-10 | 12.A. Pages 9-10 |
| 12.A. Pages 17-36 | 12.A. Pages 17-38 |
| Contents Chapter 12.B. | Contents Chapter 12.B. |
| 12.B. Pages 31-34 | 12.B. Pages 31-34 |
| 12.B. Pages 45-84 | 12.B. Pages 45-82 |
| Contents Chapter 20 | Contents Chapter 20 |
| | Contents Chapter 20.A. |
| 20.A. Pages 1-8 | 20.A. Pages 1-10 |
| 20.B. Pages 3-4 | 20.B. Pages 3-4 |
| | Contents Chapter 20.C. |
| 20.C. Pages 1-26 | 20.C. Pages 1-28 |

7. FORMS AVAILABILITY. FORMS/REPORTS. The forms called for in this Manual are available in USCG Electronic Forms on the Standard Workstation or on the Internet: http://www.uscg.mil/ccs/cit/cim/forms1/welcome.htm or Intranet: http://cgweb2.comdt.uscg.mil/CGFORMS/Welcome.htm.

Clifford I. Pearson /s/
Assistant Commandant for Human Resources

Encl: (1) Summary of Changes
(2) Change 41 to Personnel Manual, COMDTINST M1000.6 (series)

**CH 41 TO PERSONNEL MANUAL, COMDTINST M1000.6 (series)**

**SUMMARY OF CHANGES**

| **Chapter 1** | |
|---|---|
| **Article 1.A.10.C.3.g.** | Clarifies policy for retired recall members' authorized TAD periods. |
| **Article 1.B.3.f.** | Clarifies the procedure for designating the number of provisional RPAs selected. |
| **Article 1.C.1.** | Rewrite of SRDCO Program. |
| **Article 1.D.2.a.13.** | Update to CWO specialties requiring normal color perception. |
| **Article 1.D.4.** | Update normal path of advancement to include ISM, MSS and OSS. |
| **Article 1.D.7.b.** | Updated instructions for completion of CG-5310A by CWO applicants. |
| **Article 1.D.13.** | Incorporates scope of warrant specialties for ISM, MSS and OSS. |
| **Article 1.D.15.** | Change to clarify different requirements for active duty and reserve members to apply for Criminal Investigator specialty. |
| **Article 1.G.15.** | Clarifies periods of extensions of enlistment policy. |
| **Article 1.G.18.a.** | Adds reference defining personnel who are authorized to administer oaths. |

| **Chapter 3** | |
|---|---|
| **Article 3.C.5.** | Clarifies special conditions for entitlement to Zone B SRB for members with exactly 10 years of service. |
| **Article 3.E.** | Incorporates Critical Skills Training Bonus Program |

| **Chapter 4** | |
|---|---|
| **Article 4.A.5.a** | Adds American Samoa to the list of units which are unaccompanied tours. Changes tour lengths for personnel serving in Guam. |
| **Article 4.A.5.b.3.** | Adds statement that members granted a requested extension of tour length are expected to complete the extension. |
| **Article 4.A.5.** | Adjusted tour lengths for GM and FS ratings, and STA Brant Point. |
| **Article 4.A.20** | Incorporates Social Climate Considerations policy. |
| **Article 4.B.4.a.** | Assignment Priorities updated. |
| **Article 4.C.13** | Incorporates selection criteria for Food Service Assistance and Training (FSAT) Team positions. |
| **Article 4.H.2.** | Changes to reflect new process for screening for overseas duty process. |

| Chapter 5 | |
|---|---|
| **Article 5.A.5.d.2** | Clarifies Finding of Unsatisfactory in Grade. |
| **Article 5.C.** | Changes throughout to incorporate Enlisted Professional Military Education (EPME), Enlisted Performance Qualification (EPQ), and Performance Qualification Guide (PQG) rate training courses. |
| **Article 5.C.4.b.** | Clarifies that CO/OICs shall ensure an EER is prepared when a member who is otherwise eligible is not recommended for advancement because of adverse circumstances. |
| **Article 5.C.10.b.** | Clarification of requirements to possess Interim Secret Clearance to advance within certain ratings. |
| **Article 5.C.12.** | Updates ratings requiring normal color perception and/or normal hearing. |
| **Article 5.C.12.b.** | Incorporates policy which requires enlisted aviation rating members to perform flight duties to remain in their rating. |
| **Article 5.C.14.b.** | Change to authorize TIR credit for service during a prior service active duty or reserve period in another military service. |
| **Article 5.C.15.b.** | Clarification of sea time eligibility for members serving at a COMMS or Radio station. |
| **Article 5.C.29.b.** | Reflects policy change that PSC(adv) will assign designators to all E-3 personnel placed on a striker advancement list. |
| **Article 5.C.33.b.** | Clarification of observation period required for member to be advanced after reduction as punishment. |
| **Article 5.E.** | Striker Program rewritten for clarity and to update policy. |

| Chapter 7 | |
|---|---|
| **Article 7.A.10** | Clarification of appropriate use of administrative absence. |

| Chapter 8 | |
|---|---|
| **Article 8.B.1.** | Incorporates policy that provisions of Art. 8.B. apply to reserve members. |
| **Article 8.B.4.** | Incorporates guidance regarding disciplinary action after civil arrest and trial of reserve members. |
| **Article 8.D.2.b** | Update to Off-Post Gathering Places guidelines. |

| Chapter 10 | |
|---|---|
| **Article 10.A.** | Removes the requirement to use the Officer Support Form (OSF) for ENS and LTJG. |
| **Article 10.A.2.e** | Clarifies who may sign as both Supervisor and Reporting Officer. Clarifies Reporting Officer and Reviewer rating chain responsibilities. Clearly states that the RO/Reviewer shall not direct a change to an evaluation mark or comment. |
| **Article 10.A.2.i.** | Updates the routing process in CGPC for OERs once validated. |

| | |
|---|---|
| **Article 10.A.3.** | Identifies Commander (rpm) as the responsible party for completing a continuity OER for officers assigned to the IRR or Standby Reserve (Active Status). |
| **Article 10.A.3.** | Clarifies submission of continuity OER for reserve officers. |
| **Article 10.A.3.** | Provides clarification on Special OERs. Specific guidance provided relating to relief from primary duties, relief for cause and which Special OERs count for continuity. |
| **Article 10.A.3.** | Provides clarification on optional OER requirements for officers eligible for retired recall promotion board. |
| **Article 10.A.3.b.** | Adds the deadline for submitting a waiver request no later than 45 days prior to the scheduled end of period. |
| **Article 10.A.3.e.** | Incorporates new guidance regarding reserve specific OERs. |
| **Article 10.A.4.** | Updates OER preparation policy to align with new OER form (08/05). |
| **Article 10.A.4.c.** | Provides guidance regarding the Rating Scale for O-5. |
| **Article 10.B.3.** | Updates Enlisted Employee Review rating chain and appeal authority designation. Incorporates rating chain for Sectors. |
| **Article 10.B.4.c.** | Incorporates guidance for the evaluation of reservists performing TAD and ADSW. |
| **Article 10.B.5.b.** | Incorporates guidance for the completion of unscheduled evaluation of reservists performing TAD and ADSW. |

| **Chapter 12** | |
|---|---|
| **Article 12.A.9.** | Changes the limitation on involuntary separation from three to five years to align with 10 USC 12683. |
| **Article 12.A.15.** | Grants authority to separate commissioned officers with greater than 5 years of commissioned service for cause. |
| **Article 12.A.15.c.** | Changes the regulations for revocation of commissions required to align with the revision of 14 USC 281. |
| **Article 12.A.17.e.** | Incorporates policy to involuntary terminate retired recall orders. |
| **Article 12.A.22** | Establishes policy for requesting to separate voluntarily in lieu of involuntary board action. |
| **Article 12.B.12.** | Grants TRACEN Cape May final authority to discharge recruit personnel who fail to successfully complete established fitness access standards prior to completion of training. |
| **Article 12.B.18.b.** | Substantive revision to Reasons to Discharge for Misconduct. |
| **Article 12.B.21.** | Substantive revision and clarification to policy regarding Discharge for the Good of the Service. |
| **Article 12.B.31.** | Change to reference the Administrative Separation Board Manual, COMDTINST M1910.2(series), as the authority for guidance in conducting ADSEP Boards. |

| Chapter 20 | |
|---|---|
| **Article 20.A.5.** | Establishes policies and procedures for administering the Substance and Alcohol Abuse Program within the Coast Guard Reserve. |
| **Article 20.B.2.e.** | Incorporates policy and procedures for alcohol screening of inactive duty reserve members. |
| **Article 20.C.1.** | Adds recommendation for conducting testing throughout the fiscal year. Update to directions for mailing specimens through the Postal Service. |
| **Exh. 20.C.1** | Updates ISC Kodiak's BAC/UIC. |
| **Exh. 20.C.2.** | Adds information for ordering of urinalysis supplies. |
| **Exh. 20.C.6.** | Update to Drug Cut-Off levels to align with DOD. Adds Oxycodone and Oxymorphone and removes Barbituates from screening level chart. |

d. Retired officers recalled to active duty will not be eligible for selection for promotion to the next higher grade. Article 5.A.8.1

e. An approved physical examination is required per the Medical Manual, COMDTINST M6000.1 (series), Article 3.A.7.g prior to executing orders for recall to active duty.

f. The decision to be recalled to active duty is a serious one as it affects assignment actions which, if reversed, could cause hardship to other officers. Officers accepting recall to active duty incur obligated service for the period of the agreement and should expect to fulfill that service. Hardships arising after a recall agreement has begun and which cause an officer to request early release from their agreement will be evaluated on their individual merit.

**g. Personnel in a retired recall status shall not be sent to other commands TAD for longer than five business days without permission from CGPC-opm-1. The following exceptions apply:**

**(1) TAD for training required for the current billet.**

**(2) TAD that is a normal aspect of the current billet (training teams, inspectors, etc.).**

**(3) TAD related to the attendance of professional seminars.**

## 1.A.11. Appointing or Re-appointing Regular Officers from the Temporary Disability Retirement List

### 1.A.11.a. General

Permanent Regular commissioned officers and chief warrant officers on the Temporary Disability Retired List (TDRL) subsequently found fit for duty shall be ordered to active duty as retired officers. As soon as possible, they shall be re-appointed as commissioned officers or chief warrant officers, as appropriate, with an adjusted date of rank under Article 1.A.11.b (10 U.S.C. 1211).

### 1.A.11.b. Appointment

1. Commissioned officers placed on the TDRL in the grade of lieutenant (junior grade) or above not previously selected to the next higher grade and later found fit for duty shall be re-appointed to the same grade they last held on active duty. These officers are assigned a new date of rank on the Active Duty Promotion List (ADPL) which reflects a loss of one month's seniority in their original date of rank for each month served on the TDRL.

2. Commissioned officers placed on the TDRL in the grade of ensign not previously selected for lieutenant (junior grade) and subsequently found fit for duty shall be reappointed as ensigns. They will be assigned a new ADPL date of rank reflecting one month's loss of seniority in their original date of rank for each

month served on the TDRL. A panel of officers shall consider promoting to lieutenant (junior grade) ensigns whose contemporaries have been considered on a fully-qualified basis for promotion. If that panel selects those ensigns for lieutenant (junior grade), their date of rank is the date they transfer from the TDRL; however, that date cannot be earlier than that date of rank which would have occurred had they remained on continuous active duty.

3. Chief warrant officers placed on the TDRL not previously selected to the next higher grade and subsequently found fit for duty shall be reappointed to that same grade. They shall be assigned a new date of rank which reflects one month's loss of seniority in their original date of rank for each month they serve on the TDRL.

4. Commissioned officers and chief warrant officers on a list of selectees for promotion to the next higher grade when placed on the TDRL and whose promotion date has passed when they return to active duty shall be assigned a date of rank as of the date they return. If they return to active duty before their promotion date, they shall be re-appointed to that grade with the date of rank they last held on active duty and promoted on schedule.

5. Regular commissioned officers and chief warrant officers placed on the TDRL in a grade higher than the grade last held on active duty shall be re-appointed to the permanent grade they last held on active duty or, in the discretion of the Commandant, to the next higher permanent grade. (10 U.S.C. 1211)

6. Regular temporary commissioned officers placed on the TDRL in a higher temporary grade shall be re-appointed to the permanent grade they last held on active duty or, in the discretion of the Commandant, to the next higher permanent grade. Re-appointment to the higher temporary grade last held on active duty will be based on needs of the Service, as authorized by the President. (14 U.S.C. 214)

## 1.A.12. Security Investigations for Officers' Original Appointment

### 1.A.12.a. Academy Cadets

U.S. Coast Guard Academy cadets shall have a National Agency Check (NAC) completed by April 30 during the Second Class year.

### 1.A.12.b. Merchant Marine Officers

Licensed U.S. Merchant Marine officers shall initiate an NAC before commissioning.

### 1.A.12.c. Officer Candidate School Graduates

OCS graduates may be commissioned before a satisfactory NAC is complete. If the NAC is incomplete when the candidate graduates from OCS, he or she must sign the following Statement of Understanding before commissioning.

> I understand a National Agency Check will be conducted to determine my qualification for commissioning as a United States Coast Guard officer. I understand my commission may be revoked and I may be separated in accordance with 10 U.S.C. 1162 or 14 U.S.C. 281 if it is determined I am not eligible for a secret security clearance.

duty at the end of the promotion year in which the second failure occurs or when they complete their current Active Duty Agreement, whichever is earlier. The Service considers these separations involuntary. Reserve officers with 18 or more years' active duty service may remain on active duty until they complete 20 years of service if Commander (CGPC-opm) approves a retention request.

6. All extensions and agreements are subject to termination for changes in Service requirements and other factors affecting the retention of Reserve officers on active duty (10 U.S.C. 12312).

### 1.B.2.e. Submitting Applications to Remain on Active Duty

1. Reserve officers serving initial active duty periods or fulfilling active duty agreements may apply to remain on active duty via Direct Access E-Resume with required command endorsement completed in the E-Interview. Requests must be submitted in time for the appropriate extension board to consider them. The Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series) announces board convening dates and application deadlines.

2. Reserve officers shall state in the "Full Text Resume" portion of their E-Resume both their desired duration of the requested active duty agreement and the minimum duration they will accept.

3. In the "Comment Block" of the E-Interview, the commanding officer's endorsement shall comment on the applicant's suitability for continued service under the terms of an active duty agreement and also list the applicant's special qualifications or abilities.

### 1.B.2.f. Selection

1. Boards normally meet in January and July to recommend Reserve officers for new active duty agreements or extensions of their current agreements. Special boards may be convened occasionally to meet Service needs. The boards normally recommend officers they consider best-qualified for retention on active duty. As Service needs dictate, boards may be convened on a fully-qualified basis or not at all. If no board is convened, Commander (CGPC-opm) will consider all extensions and requests for new agreements. When a board is convened to consider officers on a fully-qualified basis, the board shall apply the procedures delineated in Article 14.A.5, with the following exception: In developing the fully qualified standards, the records of officers who hold the same grade as the applicant shall be used. The board's focus should be on reviewing the records for retention of the officers in the current grade, not for promotion purposes.

2. The board considers each officer for retention based on the officer's performance record, special qualifications, educational accomplishments, potential for future development as a Regular officer, command endorsement, and Service needs.

3. The Service releases to inactive duty on their scheduled release date those officers whose agreements expire or whose requests for retention have not been approved.

### 1.B.2.g. Active Duty Agreements

1. Officers selected for retention must return active duty agreements to Commander (CGPC-opm-1) within five working days after receipt.
2. Officers who do not desire to execute the agreement shall endorse the agreement to that effect and return it to Commander (CGPC-opm-1) within five working days of receipt. The officer will be RELAD no later than when their agreement expires.

### 1.B.2.h. Instructions for Signing Agreements

1. The Reserve officer desiring retention or recall to active duty is the "contractor" and signs all copies of the agreement in the space provided in the presence of one or more witnesses.
2. When practical, two officers or petty officers will witness the contractor's signature and sign all copies of the agreement in the space provided.
3. The officers delegated in Article 1.B.2.c. to accept the agreement for the Coast Guard sign all copies in the space provided for the authorized agent's signature.
4. If the Reserve officer entering the active duty agreement is the only active duty Coast Guard officer present in the area, he or she may sign as the contractor. The two witnesses' signatures must be accompanied by an address and current telephone number. The Reserve officer contractor sends the agreement to the district commander (dcs) or maintenance and logistics commander (p), as appropriate, for signature and acceptance of the agreement for the Coast Guard.

### 1.B.2.i. Pay Entitlements on Involuntary Release from Active Duty

Reserve officers involuntarily released from active duty may be entitled to separation pay under 10 U.S.C. 1174 and/or a termination payment for the remaining part of an active duty contract under 10 U.S.C. 12312. The U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series), explains conditions and procedures on separation pay or pay on release without the member's consent before an active duty agreement expires.

## 1.B.3. Appointing Reserve Program Administrators

### 1.B.3.a. General

1. Under authority of 10 U.S.C. 10211 and 12501, the Service assigns certain Coast Guard Reserve officers—Reserve Program Administrators (RPAs)—to extended active duty to organize, administer, recruit, instruct, or train Coast Guard Reserve components.

2. RPAs are commissioned Coast Guard Reserve lieutenants (junior grade) or above assigned in such numbers, grades, and duty assignments in the Reserve program at Coast Guard Headquarters and other places as the Commandant occasionally may determine as necessary to fulfill the Coast Guard Reserve mission.

3. An appropriate mix of RPAs and ADPL officers is assigned to Reserve-funded billets as Service needs require, given that the number of RPAs authorized on active duty shall not exceed 75 percent of the Reserve-funded billets per Article 5.A.6.a. Some RPAs may serve in assignments outside Reserve administration to fulfill the intent of Article 1.B.3.b.

### 1.B.3.b. Assignment

RPAs serve on extended active duty in a special occupational field. However, they are required to have a wide knowledge of the Coast Guard to carry out their duties properly. Therefore, so they may be well qualified, the Service generally assigns them to duties administering the Reserve two-thirds of the time and general Coast Guard duties the other third. Nothing here is intended to restrict an RPA's duty assignment. When not assigned to a Reserve administration billet, they may be assigned to any appropriate grade level billet, including postgraduate training.

### 1.B.3.c. Service Requirements

To qualify for designation as a provisional RPA, an active duty ADPL officer or Inactive Duty Promotion List (IDPL) Reserve officer in the grade of lieutenant or lieutenant (junior grade) must have at least two years' commissioned service in the Coast Guard or Coast Guard Reserve when the RPA designation board convenes. Lieutenants must have three or fewer years in grade when the board convenes.

### 1.B.3.d. RPA Designation Board

Boards to recommend officers for designation as RPAs and provisional RPAs convene as described in Chapter 14.A., normally annually in January or February. Commander, (CGPC-opm-1) solicits applications and announces the convening and application deadlines by message. For an acknowledgement the board received an application, submit with the request a completed, self-addressed Acknowledgment/ Referral Card, CG-4217.

### 1.B.3.e. Applying for RPA or Provisional RPA Designation

1. Form and Content Letter. For designation as provisional RPA, apply by letter to Commander, (CGPC-opm-1) through the chain of command. Exhibit 1.B.1. shows the application format, which should include a brief resume of the

officer's previous service, educational background, and, if on inactive duty, the number of days within which he or she will be able to report for duty after notification of selection.

2. Endorsements. In their forwarding endorsement, officers in the chain of command shall state definitely whether the applicant has the potential to serve as an RPA, unless they have no personal knowledge of the applicant's performance of duties, which they shall so state. The applicant shall not solicit or submit as enclosures letters from officers not in the chain of command.

3. Deadline. Submit all applications in accordance with the Schedule of Advice Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).

### 1.B.3.f. Number Designated

**Each fiscal year, the Board will designate a number of new provisional RPAs based upon the anticipated number of vacant junior officer RPA billets and the projected strength of the RPA Corps.**

### 1.B.3.g. Designation as Provisional RPA

1. All officers initially are designated provisional RPAs.

2. ADPL regular officers must resign their Coast Guard commission and accept a commission in the Coast Guard Reserve; they then transfer to the RPA promotion list and immediately begin serving as provisional RPAs on extended active duty.

3. The Services recalls inactive duty Reserve officers to extended active duty within 60 days of notification of selection.

4. After selectees complete two years' extended active duty as provisional RPAs, the next RPA appointment board considers them for designation as permanent RPAs.

5. Each officer designated as a provisional RPA shall initiate a National Agency Check immediately their selection.

### 1.B.3.h. Withdrawing Designation

At his or her discretion, the Commandant may withdraw the offered designation if the selectee is unable to report for duty within 60 days from the notification date.

### 1.B.3.i. Removing RPA Designation

Once an officer has been assigned an RPA or provisional RPA designation, the

# 1.C. U. S. Coast Guard Selected Reserve Direct Commission Officer Program

## 1.C.1. General

### 1.C.1.a. Purpose

The **Selected** Reserve Direct Commission (**SRDC**) Officer Program is one source for filling junior officer (ensign through lieutenant) **vacancies in the Selected Reserve**. Commander, Coast Guard **Recruiting Command** convenes the **SRDC** Board as needed, to consider applications. Board dates **and results are announced by general message.**

### 1.C.1.b. Eligibility Criteria

**All applicants shall meet these basic qualifications:**

1. **Be a citizen of the United States with good character.**

2. **Have reached their 21st but not 37th birthday by 30 September following the panel that will consider the applicant for selection; up to 36 months of constructive age for military service will be considered.**

3. **Be able to meet the physical standards in Chapter 3 of the Medical Manual, COMDTINST M6000.1 (series), and Chapter 2 of the Training and Education Manual, COMDTINST M1500.10 (series).**

4. **Have either a baccalaureate or higher degree; or if currently in the Coast Guard or Coast Guard Reserve,**

   a. **Be at least an E-5 or an E-4 above the cut on the E-5 advancement eligibility list, and**

   b. **Have successfully completed two years (60 semester or the equivalent quarter hours) at an accredited, degree-granting college or university with a cumulative GPA of 2.0 or higher. An applicant may substitute CLEP examinations (with the ACE recommended score for exams taken before May 1986 and a score of at least 421 for exams taken after May 1986) for up to 30 semester units.**

5. **All applicants are responsible for making necessary arrangements to take the appropriate officer screening test. Former or current officers of the Regular or Reserve Armed Forces of the United States who have served at least one year in commissioned status are not required to take the test. Test results remain valid indefinitely. All applicants must retain the minimum qualifying scores as follows:**

**a. SAT: combined 1000 on verbal and math**

**b. SAT1: combined 1100 on verbal and math**

**c. ACT: composite of 23**

**d. ASVAB: GT score of 110 (copy of MEPS-714 form is required for civilians)**

**6. Be eligible for a secret clearance. All applicants must have a favorable National Agency Check (NAC) within the last ten years. Selectees must acknowledge that if it is determined that they are not eligible for a security clearance, their commission is subject to revocation, and they may be discharged. (Exhibit. 1.C.1).**

**7. Active duty military applicants or reservists serving on active duty must show proof that they will be released from active duty prior to the ROCI class convening.**

**8. Prior or current military service personnel with 14 or more years of previous service creditable for retirement in another Armed Force or its Reserve component are not eligible to apply.**

**9. Ministers of divinity, theology students, and persons who hold degrees or are in graduate school or training in medicine, dentistry, nursing, veterinary medicine, osteopathy, or optometry are not eligible to apply unless they:**

**(1) Previously served in the Armed Forces or a Reserve component and completed their military service obligations; and**

**(2) Attain their educational status after fulfilling their military service obligation; and**

**(3) On acceptance in the Coast Guard Reserve, agree in writing if mobilized they will waive their right of exemption due to their professional status.**

### 1.C.1.c. Dual Compensation

Persons drawing a service-connected pension, disability allowance, disability compensation, or retired pay from the United States Government who are selected under this program may be required to waive part or all of their pension to comply with provisions of 10 U.S.C. 684 and 38 U.S.C. 3102.

### 1.C.1.d. Period of Obligated Service

All applicants must execute a Statement of Understanding (Exhibit 1.C.1.) which includes the agreement that, if selected, the applicant will **affiliate and participate satisfactorily in the Coast Guard Selected Reserve for at least four years.**

**Applicants becoming members of an Armed Force for the first time incur an eight-year military service obligation.**

### 1.C.1.e. Reserve Officer Candidate Indoctrination

All enlisted and non-prior-service candidates selected for a direct commission through this program are required to attend the three-week Reserve Officer Candidate Indoctrination (ROCI) course before commissioning. **SRDC selection boards may choose whether or not to require prior service Coast Guard, Navy, or NOAA officers to attend ROCI.**

### 1.C.1.f. Physical Examination

**Each applicant shall have a commissioning physical examination performed in accordance with the Coast Guard Medical Manual, COMDTINST M6000.1 (series), Chapter 3-E. Coast Guard Regular and Reserve applicants shall obtain physical exams using locally established procedures. All other applicants shall obtain a physical exam at the Military Entrance Processing Station (MEPS) as arranged through the local recruiter. A copy of the physical exam report, approved no more than two years prior to the ROCI convening date, must be included with the application package.**

### 1.C.1.g. Swimming Qualification

**Selectees must pass the basic swim test as outlined in the ROCI curriculum before receiving their commission.**

### 1.C.1.h. Waiver Requests

**Waivers will be considered only after CGRC has exhausted all alternatives and is unable to find fully qualified applicants. Waiver requests will be initiated by CGRC after the application package has been reviewed.**

## 1.C.2. Application Procedures

### 1.C.2.a. General

**Non-Coast Guard applicants should contact a recruiting office to apply. Coast Guard applicants should contact their unit Educational Services Officer (ESO) to obtain application packages. Units and recruiting offices will forward all completed application packages to the CGRC, SRDC Coordinator, prior to the established application deadline.** In all cases, responsibility for timely submission rests with the applicant, who should allow for delays in scheduling the **required** interview and completing the application process.

### 1.C.2.b. Documents Required

**The documents listed below are required to complete the SRDC application package. No other document shall be included.**

1. Signed Statement of Understanding.

2. Applicant's Narrative Communication to the **SRDC** Board **(with a substantive endorsement)** by the applicant's commanding officer for Coast Guard and Coast Guard Reserve members.

3. Civilian resume (maximum of two pages).

4. College transcript(s) and proof of degree.

5. **Letter(s) of recommendation (minimum of one, maximum of three if not a current member of USCG or USCGR; maximum of two if a current member of USCG or USCGR).**

6. **Officer Programs Applicant Interview Form, CG-5527.**

7. **Copies of military evaluations encompassing the last three years of service or the entire period of military service, whichever is less (required for members currently in military service; desired for all other prior service).**

8. **Copies of military award citations (personal awards only) and copies of training completion certificates (if applicable).**

9. **Certificate of Release or Discharge from Active Duty, DD Form 214 (if applicable).**

10. **Approved Report of Medical Examination, SF-88 and Report of Medical History, SF-93 (with approving authority signature).**

11. **Request for waiver (if required).**

12. **Copies of SAT, ACT, or ASVAB test completion and scores. A copy of the MEPS-714 form is required for all ASVAB GT scores for civilians.**

13. **Place of residence and telephone number.**

14. **Questionnaire for National Security Positions, SF-86, or a copy of the adjudication message if investigation for security clearance is current (completed within the last ten years).**

15. **Police Record Checks, DD-369.**

16. **Approved Conditional Release, DD-368 (if applicable).**

17. **Copy of Social Security card.**

18. **Certified copy of birth and/or Naturalization Certificate(s).**

### 1.C.2.c. Unit and Recruiting Office Responsibilities

Unit ESOs shall assist applicants already serving in the Coast Guard or Coast Guard Reserve. Recruiting offices are available to advise ESOs on application procedures and may help schedule interview boards. Units and recruiting offices shall:

1. Advertise for and solicit applications.

2. **Assist applicants in compiling packages and perform administrative reviews to ensure compliance with section 1.C.2.b. above.**

3. **Schedule interview panels. For USCG and USCGR applicants, interview panels should not be comprised of officers from the same command as the applicant.**

4. **Forward packages to CGRC before the established deadline.**

## 1.C.3. Selection for Appointment

### 1.C.3.a. Commission Board Actions

In selecting candidates, the **SRDC board**:

1. Considers only complete application packages.

2. **Recommend applicants who meet the program's commissioning standards and rank order the most suitable applicants within each ISC's AOR.**

3. **Base grade recommendations on the needs of the Selected Reserve and the applicant's level of education, technical training, professional experience, and military experience which exceeds the prescribed minimum. Applicants with previous officer experience are normally approved for the last grade satisfactorily held, up to the grade of lieutenant.**

### 1.C.3.b. Notification

**CGRC will notify applicants of selection or non-selection. CGPC (rpm) will coordinate unit assignments and ROCI convening dates.**

1. **Acceptance of a commission is contingent upon acceptance of the SRDC unit assignment.**
2. **Drilling reservists will continue to drill at their current unit until reporting to ROCI.**
3. **Effective date of transfer for the SRDC unit assignment will be the date of commission, upon completion of ROCI.**

**STATEMENT OF UNDERSTANDING**
**SELECTED RESERVE DIRECT COMMISSION OFFICER PROGRAM**

1. **If commissioned through the Selected Reserve Direct Commission Officer Program, I agree to:**

   a. **Remain a member of the Selected Reserve or serve on active duty for at least four years from my date of commissioning and fulfill my remaining statutory obligation as a member of the Individual Ready Reserve, if necessary; and,**

   b. **Complete the minimum number of inactive duty training (IDT) drills and days of annual active duty for training (ADT) required for my training category.**

2. I understand if I am becoming a member of an Armed Force for the first time, I am incurring an eight-year military service obligation.

3. I understand a National Agency Check will be conducted to determine my qualification for commissioning as a United States Coast Guard officer. If it is determined I am not eligible for a secret security clearance, my commission is subject to revocation and I may be discharged in accordance with 10 U.S.C. **12681.**

4. I understand I must satisfactorily meet all conditions **tha**t are basic considerations for my continuation in the Coast Guard Reserve: promotions, retention in a paid drill status, retention in any active status, and retention of my commission in the Coast Guard Reserve.

5. I understand if I now am receiving or **have ever received** a pension, disability allowance, disability compensation, or retired pay from my military service in the United States Government, I may be required to waive all or part of such compensation in favor of Reserve military pay and allowances for the period of active duty (including training) or inactive duty.

6. **I understand my commission is contingent upon acceptance of the assigned unit. If the unit for which I am selected is beyond the standards of reasonable commuting distance, travel reimbursement and per diem will not be authorized for IDT drills.**

_____ _____
Applicant's Signature Date

_____-_____ _____
Witnessing Officer's Signature Date

**CONTENTS**

***1.D APPOINTMENT AS WARRANT OFFICER 3***

**1.D.1. GENERAL 3**
1.D.1.a. Definition 3
1.D.1.b Billet Structure 3

**1.D.2. ELIGIBILITY FOR APPOINTMENT TO WARRANT GRADE 3**
1.D.2.a. Minimum Eligibility Requirements 3

**1.D.3. RECOMMENDATION PROCEDURES 6**
1.D.3.a. Content of Recommendation 6
1.D.3.b. Considerations Prior to Recommendation 6
1.D.3.c. CGPC Determination 7

**1.D.4. NORMAL PATH OF APPOINTMENT 7**
1.D.4.a. General 7
1.D.4.b. Exceptions to the Normal Path of Appointment 8

**1.D.5. CREDIT FOR TIME IN PAY GRADE (TIG) AND ACTIVE DUTY TIME IN SERVICE (TIS) 8**
1.D.5.a. Time in Grade 8
1.D.5.b. Computation Rules 8
1.D.5.c. Computing TIS 9

**1.D.6. PREBOARD RESULTS 9**
1.D.6.a. Personnel Data Extract (PDE) 9
1.D.6.b. Preboard Score 10
1.D.6.c. Preboard Eligibility List 10

**1.D.7. PREPARATION AND DISTRIBUTION OF RECOMMENDATION FILES AND RESUME 10**
1.D.7.a. Submission of Officer Evaluation Reports (OERs) 10
1.D.7.b. Preparation of the OER 11
1.D.7.c. Preparation of Candidate Resume 12

**1.D.8. THE BOARD PROCESS 13**
1.D.8.a. Convening of Board 13
1.D.8.b. Composition of the Board 13
1.D.8.c. Oath of Board Members 13
1.D.8.d. Information to be Furnished to the Board. 13
1.D.8.e. Method of Selection 13
1.D.8.f. Submission of Reports 13

**1.D.9. THE POSTBOARD PROCESS AND FINAL ELIGIBILITY LIST 14**
1.D.9.a. Publication of Results 14
1.D.9.b. Method of Appointment 14
1.D.9.c. Eligibility for Further Enlisted Advancement 15
1.D.9.d. Separation Prior to Appointment 15
1.D.9.e. Effective Date of the Final Eligibility List 15

**1.D.10. REMOVAL FROM ELIGIBILITY LISTS (PREBOARD OR FINAL) 15**
1.D.10.a. Procedure for Removal from the Preboard or Final Eligibility List 15
1.D.10.b. Removal as Result of Personnel Security Investigation 18
1.D.10.c. Declining Appointment or Removal at Own Request 18

**1.D.11. PROCEDURE FOR APPOINTMENT TO WARRANT GRADE 19**
1.D.11.a. Appointments 19
1.D.11.b. Oath of Office 19
1.D.11.c. Pay and Allowances 19
1.D.11.d. Withholding of Appointment 19
1.D.11.e. Physical Examination 20
1.D.11.f. Weight Standards 21
1.D.11.g. Discharge from Enlisted Status 21

**1.D.12. APPOINTMENT CEREMONY 21**

**1.D.13. SCOPE OF WARRANT SPECIALTIES 22**
1.D.13.a. Aviation Engineering Specialty (AVI) 22
1.D.13.b. Bandmaster Specialty (BNDM) 22
1.D.13.c. Boatswain Specialty (BOSN) 22
1.D.13.d. Electronics Specialty (ELC) 23
1.D.13.e. Naval Engineering Specialty (ENG) 23
1.D.13.f. Finance and Supply Specialty (F&S) 24
1.D.13.g. Public Information Specialty (INF) 24
**1.D.13.h. Criminal Investigator Specialty (INV) 24**
**1.D.13.i. Information Systems Management (ISM) 25**
1.D.13.j. Material Maintenance Specialty (MAT) 25
1.D.13.k. Medical Administration Specialty (MED) 25
**1.D.13.l. Marine Safety Specialist (MSS) 26**
**1.D.13.m. Operations Systems Specialist (OSS) 26**
1.D.13.n. Personnel Administration Specialty (PERS) 26
1.D.13.o. Port Safety and Security Specialty (PSS)(RESERVE ONLY) 27
1.D.13.p. Weapons Specialty (WEPS) 27

**1.D.14. APPOINTMENT AS WARRANT OFFICER (BANDMASTER) 27**
1.D.14.a. Applications 27
1.D.14.b. Minimum Eligibility Requirements 27
1.D.14.c. Qualifications for Warrant Specialty (Bandmaster) 28
1.D.14.d. Application Procedures 29
1.D.14.e. Appointment Board 29
1.D.14.f. Procedures for Appointment 31
1.D.14.g. Procedures for Appointment Ceremony 31

**1.D.15. APPOINTMENT AS WARRANT OFFICER (CRIMINAL INVESTIGATOR) 31**
**1.D.15.a. Applications 31**
**1.D.15.b. Minimum Eligibility Requirements 31**
**1.D.15.c. Qualifications for Warrant Specialty (Criminal Investigator) 32**
**1.D.15.d. Application Procedures 33**
**1.D.15.e. Lateral Change in Warrant Specialty to CWO(INV) 33**

# 1.D Appointment as Warrant Officer

## 1.D.1. General

### 1.D.1.a. Definition

Chief Warrant Officers (CWOs) are commissioned officers of the Coast Guard who serve in grades established by law and have authority commensurate with this status. CWOs are mature individuals with appropriate education and specialty experience who have shown through demonstrated initiative and past performance they have the potential to assume positions of greater responsibility requiring broader conceptual, management and leadership skills. While administrative and technical specialty expertise is required in many assignments, CWOs must be capable of performing in a wide variety of assignments that require strong leadership skills. Enlisted and officer experience provide these officers a unique perspective in meeting the Coast Guard's roles and missions.

### 1.D.1.b. Billet Structure

Warrant officer billets are issued in the normal budgetary process and are independent of commissioned officer billets. All warrant officer billets are at the W-4 level.

## 1.D.2. Eligibility for Appointment to Warrant Grade

### 1.D.2.a. Minimum Eligibility Requirements

Each applicant for appointment to warrant grade is responsible for completing the eligibility requirements by 1 January of the year in which the Chief Warrant Officer (CWO) Appointment Board (the Board) convenes. The Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series) announces the Board's convening date.

1. Must be a citizen of the United States.

2. Applicants are no longer required to have a National Agency Check (NAC) completed within five years of the 1 January deadline. However, applicants should review the requirements of the Military Personnel Security Program, COMDTINST M5520.12 (series) and be prepared in the event an updated background investigation is needed for the initial CWO assignment.

3. Must be a member of the Coast Guard or Coast Guard Reserve**,** serving on active duty or an extended active duty contract, with at least 4 years of service in either component as of 30 June following the 1 January deadline.

4. Must have at least 8 years total active service in the Armed Forces of the United States. Credit for active duty time will be computed to 30 June following the 1 January deadline. Members returning to active duty under the CNC or Temporary Separation Policy will be credited for TIS earned prior to separation (Article 12.F). Rules for computing active duty separation are contained in Article 12.F. Rules for computing active duty time in service (TIS) are contained in Article 1.D.4.

5. Must be serving in pay grade E-6 or above. Those currently serving as temporary officers are not eligible to apply for appointment to warrant grade. Former temporary officers who were authorized to revert to their permanent enlisted status under Article 12.A.12. provisions must request a waiver to apply for appointment to warrant grade. Waiver requests must be submitted via the chain of command to arrive at Commander (CGPC-opm-1) by 01 September preceding the Board. Temporary officers who reverted IAW Article 12.A.13.e.4. do not need a waiver. Additionally, personnel who have previously served as a warrant officer who were authorized to revert to their former enlisted status under the provisions of Article 5.B.6 or 12.A.21 are not considered to have the qualities necessary for reappointment to warrant grade and are not eligible to apply.

6. Enlisted members serving in pay grade E-6 must have displayed their technical ability by placing in the top 50 percent on the eligibility list for advancement to E-7 as a result of the Servicewide Examination (SWE) administered in May prior to the 01 January deadline. The following examples apply.

    a. If the E-7 advancement eligibility list has 100 members, those at positions 1 through 50 are eligible to compete for appointment to warrant grade.

    b. If the E-7 advancement eligibility list has 101 members on, those at positions 1 through 51 are eligible to compete for appointment to warrant grade.

    c. Members removed from published advancement eligibility lists, e.g., retirements, shall not be used as justification to improve the percentile calculation.

7. Members serving in pay grade E-7, E-8, or E-9 are considered to have already displayed technical ability in their specialty.

8. Members who are scheduled for separation under the High Year Tenure Program are not eligible to apply since their mandatory separation date will have occurred prior to the effective date of the Final Eligibility List.

9. Members whose request for retirement have been approved are not eligible to apply. Members whose request for retirement is approved after being recommended shall be removed from the Preboard or Final Eligibility List as applicable. Commanding officers shall notify Commander (CGPC-opm-1) by message so the names of such applicants can be removed from the applicable list.

10. Must have no court-martial or civil conviction, or nonjudicial punishment and have no unsatisfactory mark in conduct for the three years immediately prior to the 1 January deadline and for the entire period from 01 January to appointment. Commanding officers shall submit a message to Commander (CGPC-opm-1) to remove from the warrant officer appointment eligibility lists (Preboard or Final) any person who has received a court-martial or civil conviction, nonjudicial punishment, or unsatisfactory mark in conduct at any time prior to being appointed to warrant grade.

11. See Article 1.D.10. for information about members who previously declined appointment to warrant grade or voluntarily elected to be removed from an eligibility list.

12. Applicants for the boatswain or naval engineering specialties must have completed at least one year of sea duty as defined by Article 5.C.15. in pay grade E-6 or above by the 1 January deadline. Surfmen (CXNSJ, CXNSK or CXNSM) who have completed 12 months as a certified surfman in a designated surfman billet, E-6 or above, are considered to have permanently met the sea duty requirement for appointment to warrant. This requirement will not be waived except for members who are presently serving at sea or who are under orders to sea duty and will meet the sea duty requirement by 30 June following the Board's convening date. Commanding officers have authority to grant waivers in these cases. Sea Duty waiver requests must be submitted via the chain of command to arrive at Commander (CGPC-opm-1) prior to the 01 January deadline. In computing sea duty time, 30 days equal one full month. After totaling all creditable sea duty periods, a remainder of fewer than 30 days shall be dropped.

13. In addition to the above eligibility requirements, each applicant for appointment to the AVI, BOSN, ELC, INV, MED, WEPS, ENG, **ISM, OSS and MSS** warrant specialties must possess normal color perception. Applicants for the INV specialty must also possess normal hearing.

14. Commanding Officer's Recommendation. The final eligibility step in the warrant officer appointment process is obtaining the commanding officer's recommendation. After meeting all of the eligibility requirements, members must submit an E-Resume with the command endorsement completed in the E-interview. In the "Job Endorsement" page under the "Recommendation" drop-down menu, commanding officers should choose "Make Offer" to positively endorse a candidate's application to the CWO appointment process. The comment block of the E-resume should not be used. Only commanding officers are authorized to submit the final endorsement. Members should follow their commanding officer's policy for requesting this recommendation, scheduling a personal interview with the commanding officer, providing documentation attesting to the completion of the minimum eligibility requirements, addressing the suitability issues specified in Article 1.D.3.b.2., etc. Members must submit their E-Resumes in time to obtain the commanding officer's E-Interview recommendation by the 01 January deadline date. Commanding officers are no longer required to submit a letter to their PERSRU listing those recommended.

15. Except as noted in Article 1.D.2.a.5. and 1.D.2.a.12., waivers of eligibility requirements will not normally be granted.

## 1.D.3. Recommendation Procedures

### 1.D.3.a. Content of Recommendation

The commanding officer's well-considered, affirmative recommendation is the most important eligibility requirement in the warrant officer appointment process. Regardless of how much time in service or time in grade a member may have or the existence of other personal considerations, he or she must earn the commanding officer's recommendation. Commanding Officers (COs) shall base recommendations for appointment to warrant grade first on the person's qualities of leadership, personal integrity, and potential to perform successfully as a warrant officer. COs must never permit technical competence and ability to perform in a warrant specialty to overshadow the member's potential to perform successfully as a warrant officer. Appointment as a warrant officer is not another step in the enlisted promotion process and shall not reward enlisted members for faithful or extended service or completion of minimum service requirements. Meeting the minimum standards for advancement as an enlisted member should not be enough to earn members the commanding officer's recommendation to apply for appointment to warrant grade. A CO shall not recommend a member whose personal conduct and associations constitute reasonable grounds for rejection on the basis of loyalty.

### 1.D.3.b. Considerations Prior to Recommendation

In view of Article 1.D.3.a., COs may recommend members for appointment to warrant grade if they meet all Article 1.D.2. minimum eligibility requirements. In addition to these minimum eligibility requirements, COs shall consider these factors before recommending a member for appointment to warrant grade:

1. COs shall recommend personnel for appointment to warrant grade only if they are fully qualified to hold warrant grade. By making this recommendation the commanding officer affirms the member recommended can perform the duties of the specialty as defined in Article 1.D.13. Commanding officer's shall thoroughly evaluate members seeking their recommendation for appointment to warrant grade to ensure they possess the qualities of character and leadership required of warrant officers. Perfunctory personnel administration in this area may allow poor performers and military offenders to be appointed, which reflects poorly on the command and the Service.

2. The recommendation process used by the commanding officer assists the Service in affirming the candidate's mental, moral, physical and professional qualifications for appointment to commissioned status. Commanding Officers shall review the applicant's unit personnel data record prior to making the recommendation. In addition to affirming that the member recommended meets all minimum eligibility requirements as well as the particular requirements for the chief warrant officer specialty defined in Article 1.D.13., the following suitability issues shall be carefully evaluated prior to making a recommendation to allow the member to compete:

a. demonstrations of character inconsistent with Coast Guard core values;

b. substance and/or alcohol abuse;

c. misconduct (civil and military);

d. domestic violence;

e. financial irresponsibility; and

f. sexual harassment or discrimination.

### 1.D.3.c. CGPC Determination

If it is determined that certain individuals do not possess the officer-like qualities necessary to serve successfully as a chief warrant officer after being recommended by their commanding officer, Commander (CGPC-c) may remove their names from competition.

## 1.D.4. Normal Path of Appointment

### 1.D.4.a. General

The table shows the normal appointment path to warrant specialties:

| Rating | Warrant Specialty |
|---|---|
| AMT and AET | Aviation Engineering (AVI) |
| MU | Bandmaster (BNDM) |
| BM | Boatswain (BOSN) |
| ET and IT | Electronics (ELC) |
| EM and MK | Naval Engineering (ENG) |
| SK and FS | Finance and Supply (F&S) |
| PA | Public Information (INF) |
| Special Agents<br>**IV (Reserve Rating)** | Criminal Investigator (INV) |
| **IT** | **Information Systems Management (ISM)** |
| DC | Material Maintenance (MAT) |
| HS | Medical Administration (MED) |
| **AST, BM, DC, EM, GM, MK, MST and PS** | **Marine Safety Specialist (MSS)** |
| **OS** | **Operations System Specialist (OSS)** |
| YN | Personnel Administration (PERS) |
| MST (Reserve Rating)<br>PS (Reserve Rating) | Port Safety and Security (PSS) |
| GM | Weapons (WEPS) |

### 1.D.4.b. Exceptions to the Normal Path of Appointment

Members who desire consideration for appointment to a warrant specialty not in their normal path of appointment are required to complete all Coast Guard Institute nonresident training courses up through E-6 for a rating that is in the desired path. Additionally, such members must demonstrate competence by participating in an E-7 SWE consistent with such nonresident training courses required above. Scoring in the top 50 percent of all E-7 candidates on the appropriate SWE's professional knowledge sections for the desired path is considered adequate demonstration.

1. Each applicant for a warrant specialty not in the normal path of appointment is also required to meet the eligibility requirements in Article 5.C.6 for advancement to E-7 in the enlisted rating consistent with Article 1.D.2. requirements.

2. Interested applicants shall submit a written request to Commander (CGPC-opm-1) via official channels for authority to participate in the applicable E-7 SWE to be administered during May of the year preceding the 01 January deadline. Such requests shall be submitted in time to arrive at Commander (CGPC-opm-1) no later than 1 February of the year the E-7 SWE is desired**.**

3. Instructions contained in this article do not constitute authority to change an enlisted rating. Participation in E-7 SWEs as specified in this article is solely to qualify for appointment to warrant grade.

4. Unsuccessful applicants must recompete annually in the appropriate E-7 SWE examination.

5. Members authorized to apply for a warrant specialty outside their normal appointment path can not compete for their normal specialty.

## 1.D.5. Credit for Time in Pay Grade (TIG) and Active Duty Time in Service (TIS)

### 1.D.5.a. Time in Grade

Credit active duty TIG as served in pay grades E-6, E-7, E-8, and E-9.

### 1.D.5.b. Computation Rules

Use the following rules to compute TIG.

1. Calculate time in grade in years and months to 1 July of the year of the Board. Thirty days equal one full month. After totaling all creditable periods of TIG, drop a remainder of fewer than 30 days.

2. Credit TIG as served in pay grades E-6, E-7, E-8 and E-9 in the Coast Guard or Navy. All Navy service must be supported with a DD-214.

3. Reserve members on active duty who voluntarily accepted a reduction in rate to enlist or reenlist in the Regular Coast Guard will not receive TIG held in the higher pay grade regardless of whether the member subsequently advanced to the formerly held higher pay grade after enlisting or reenlisting in the Regular Coast Guard.

4. Previous Coast Guard or Navy TIG in the present or higher grade is creditable only if served under continuous active service conditions (within three months of separation).

5. Credit time served as a prior temporary officer. Enlisted members who were reverted from a temporary officer status will be credited with TIG in their permanent enlisted grade of E-6 and above.

6. Do not credit time on the TDRL when computing TIG.

7. Do not credit time served in a rate from which a member was reduced as a result of non-judicial punishment, court-martial, or incompetence.

8. Time served in a previous rate is creditable for those personnel who accepted a reduction in rate for the purpose of a change in rating.

### 1.D.5.c. Computing TIS

Use the following rules to compute TIS.

1. After totaling all creditable periods of TIS, a remainder of fewer than 30 days shall be dropped.

2. Active duty in any of the Armed Forces is creditable. A correct Active Duty Base Date is the basis for this computation.

3. Do not credit time served on the TDRL as active service.

4. The terminal eligibility date is 1 July of the year of the Board.

## 1.D.6 Preboard Results

### 1.D.6.a. Personnel Data Extract (PDE)

Personal Data Extracts (PDE's) are available through Employee Self Service via the Direct Access website. The PDE is a critical document which notifies all recommended applicants of their preboard scores and the factors used to compute these scores. The PDE confirms that an applicant has been included in the process and is either eligible or not eligible to compete for warrant grade. Non-receipt of a PDE may mean that an applicant's E-Resume was not submitted successfully in Direct Access and may result in no preboard score computation for the affected applicant. Applicants who cannot view their PDE or whose PDE is incorrect in Direct Access bear the responsibility to notify

their commanding officer and **SPO** immediately so corrective action can be expedited. Likewise, applicants whose PDE indicates they are not eligible for appointment to warrant grade due to insufficient TIS, TIG, sea duty, evaluation marks, etc., bear the responsibility to notify their commanding officer and **SPO** immediately. Those who do not take immediate action are at serious risk for favorable consideration of a future request for waiver. This exercise of personal responsibility, or lack thereof, further demonstrates the individual's officer-like qualities.

### 1.D.6.b. Preboard Score

The preboard score consists of an experience factor and an evaluation factor. The experience factor accounts for 40% of the preboard score and is calculated by crediting one point for each full month of active service as E-6 and two points for each full month as E-7, E-8, and E-9. Maximum credit for time as E-6 is 100 points. Total maximum credit for time as E-6 through E-9 is 175 points. The evaluation factor accounts for 60% of the preboard score and is computed by Direct Access based on the applicant's performance marks during the four-year period immediately prior to the 01 January deadline. Only E-6 marks will be used for those E-6 applicants with fewer than four years' TIG.

### 1.D.6.c. Preboard Eligibility List

Based on the estimated number of warrant officer appointments required for the following year, Commander (CGPC-opm) will determine the number of candidates to be considered for appointment and establish minimum preboard scores for primary and alternate candidates in each specialty. Commander (CGPC-opm-1) will publish, by ALCGPERSCOM message, usually in April, a Preboard Eligibility List containing the names of those applicants who qualify. The Preboard Eligibility List will not indicate whether applicants are primary or alternate candidates. Individual applicants must refer to their preboard score on their profile letter to determine their status. The preboard score is used only to determine primary and alternate candidates and is not furnished to the Board. All primary candidates will be considered by the Board. If primary candidates are removed from consideration prior to the convening of the Board or are found not fully qualified by the Board, they will be replaced by alternate candidates, in order of highest preboard score. Such alternate candidates are then considered primary candidates. (Refer to Article 1.D.8.)

## 1.D.7. Preparation and Distribution of Recommendation Files and Resume

### 1.D.7.a. Submission of Officer Evaluation Reports (OERs)

Commanding officers shall submit an Officer Evaluation Report (OER), CG-5310 with 3A variant of page 3, for all members of their command whose names appear on the Preboard Eligibility List. The OERs shall be submitted directly to Commander (CGPC-opm-1) and shall be prepared using the instructions in Article 1.D.7.b. Do not use OER preparation instructions contained in section 10.A. Each primary and alternate candidate

shall submit a resume prepared in accordance with instructions in subparagraph c. below. The submission deadline date for the OER and resume will be announced in the ALCGPERSCOM message publishing the Preboard Eligibility List.

### 1.D.7.b. Preparation of the OER

Preparation and Distribution of Officer Evaluation Report (OER), Level I (CG-5310).

1. The candidate's current commanding officer must sign as Supervisor and Reporting Officer. OERs completed by former commands, however recent, will not be accepted. The member's "current commanding officer" is determined by considering where the member is permanently attached when the Preboard Eligibility List is published. If the applicant is in an advanced education program, the program manager is the appropriate signatory. Commanding officers are encouraged to contact prior commands for OER input on recently assigned personnel. Commanding officers who desire to provide input on candidates whom they recommended for appointment to warrant grade for the current cycle, but who are no longer assigned to their command, are encouraged to contact the current commanding officer and may forward an Administrative Remarks (CG-3307) documenting the candidate's potential to serve successfully as a CWO. The CG-3307 shall be submitted directly to Commander (CGPC-adm-3) for inclusion in the candidate's Headquarters PDR.

2. Prepare an original and one copy of CG-5310 with 3A variant of page 3 for each candidate as follows:

   a. Complete section 1, blocks a. (name), b. (SSN), d. (current enlisted grade, eg. BMC, this needs to be hand typed), e. (date of rank), f. (unit and telephone number), g. (ATU-OPFAC), i. (date reported), j. (period of report, not to exceed one year ending 1 May of the Board year), m. (date submitted).

   b. Complete section 2 with a description of the member's current duties.

   c. Complete comment sections 3, 4, 5, and 8 addressing each performance characteristic giving specific examples/accomplishments. Completing comment section 7 is optional.

   d. Complete section 10 specifically addressing the candidate's potential to perform satisfactorily as a chief warrant officer in the specialty for which applying. Refer to Article 1.D.13., which defines the scale of responsibilities in each specialty.

   e. Do not complete section 9.

   f. Both Block 6 (Supervisor Authentication) and Block 11 (Reporting Officer Authentication) shall be signed by the commanding officer. Unit commanding officers (parent command for units with officers in charge), office chiefs from HQ, division chiefs from areas, maintenance and logistics

commands, districts and the Coast Guard Academy sign as both Supervisors and Reporting Officers for the OERs submitted on candidates assigned to their immediate staffs.

g. Do not complete section 12.

h. Do not assign numerical marks for performance dimensions. Forms with assigned marks will be returned for resubmission. No attachments to the OER are allowed. Attachments such as awards should be submitted directly to Commander (CGPC-adm-3) for inclusion in the HQ PDR.

3. Distribution of CG-5310. The original of CG-5310 will become part of the candidate's recommendation file which is forwarded directly to Commander (CGPC-opm-1). The copy will be retained in the unit file for one year.

4. Correction of CG-5310. Changes to the form will not be permitted after submission except when an administrative error in preparation has been made (i.e., typing). Requests for changes due to administrative errors will be made by letter to Commander (CGPC-opm-1) explaining the error, the desired correction, and the reason. If the request for correction falls within 15 days of the convening date for the Board, the request should be made by message.

### 1.D.7.c. Preparation of Candidate Resume

All primary and alternate candidates whose names appear on the Preboard Eligibility List shall submit a resume via the chain of command. The “to” line shall read, “President, CWO Appointment Board.” No enclosures to the resume (other than the OER) are permitted. The resume shall be submitted to "President, CWO Appointment Board", c/o Commander (CGPC-opm-1). The resume must be submitted in accordance with the Coast Guard Correspondence Manual, COMDTINST M5216.4 (series) using the memorandum letterhead in the following format.

1. Limited to a maximum of two pages, single-sided, single-spaced, 12 point text.

2. Contain a historical summary of units, listing the primary and collateral duties assumed at each. List units in reverse chronological order (i.e., the most recent unit listed first).

3. Contain a summary of major professional accomplishments including medals, awards and academic achievements.

4. Contain a summary of reasons for desiring appointment to warrant grade.

5. Commanding officers shall forward the resume without comment (signature endorsement only) and shall attach the completed OER as enclosure (1). No other enclosures are permitted.

## 1.D.8. The Board Process

### 1.D.8.a. Convening of Board

At such times as the needs of the Service require, Commander (CGPC) shall convene a Board to recommend eligible candidates for appointment to warrant grade.

### 1.D.8.b. Composition of the Board

The Board shall consist of at least five officers on the active duty promotion list who are serving in or above the grade of chief warrant officer (W-2).

### 1.D.8.c. Oath of Board Members

Members of the Board shall swear or affirm that they will, without prejudice or partiality, and having in view both the special fitness of officers and the efficiency of the Coast Guard, perform the duties imposed upon them.

### 1.D.8.d. Information to be Furnished to the Board

Commander (CGPC) shall furnish the appointment Board with:

1. A listing, by specialty, of all primary candidates for appointment to warrant grade.
2. The OER and resume of all eligible primary candidates. (Refer to Article 1.D.7.)
3. The Headquarters PDR of all primary candidates.

### 1.D.8.e. Method of Selection.

The Board must first determine, by specialty, if all primary candidates are fully qualified to become chief warrant officers based on the information furnished in subparagraph d. above and the professional judgment of the Board members. After making this determination, the Board must then rank order the primary candidates on a best-qualified basis.

2. The Board shall not recommend candidates for appointment whose personal conduct and associations are such that reasonable grounds exist for rejection on the basis of loyalty. Although a candidate may have been considered as meeting the minimum requirements, the Board may find trends or patterns of conduct, indebtedness, performance, or behavior which it considers disqualifying and therefore may find the candidate not fully qualified for appointment.

3. The Board will submit a report of those recommended for appointment in each specialty to the Secretary of Transportation (the Secretary) for appointment authority.

### 1.D.8.f. Submission of Reports

1. The Board Report shall contain:
   a. A cover sheet.
   b. A listing of membership.

c. A listing of the convening, meeting, and adjourning dates.

d. A listing of the names of candidates recommended for appointment in each specialty.

e. A definite recommendation for all candidates considered, either that they are, or are not, qualified for appointment. The recommendation shall not include any restrictions or qualifications.

f. If the Board does not recommend a candidate for appointment, the reasons therefore shall be indicated in the Board Report.

g. A certification that, in the opinion of at least a majority of the members if the Board has five members, or in the opinion of at least two-thirds of the members if the Board has more than five members, the candidates recommended are the best qualified for appointment to warrant grade.

h. The signature of each member.

i. The original precept, appended.

2. The Board shall submit its report to the Commandant for approval, modification, or disapproval. If the Board has acted contrary to law or regulation, the Commandant shall return the report for proceedings, revisions, and resubmission.

3. The deliberations of the Board shall not be disclosed to any person not a member of the Board.

## 1.D.9 The Postboard Process and Final Eligibility List

### 1.D.9.a. Publication of Results

After the Commandant has approved the report and the Secretary has granted appointment authority, the candidates concerned shall be promptly notified of the Board results through publication of the Final Eligibility List by ALCGPERSCOM message. Individual notification will not be made. All primary candidates found not fully qualified by the Board will receive a letter from Commander (CGPC-opm-1) stating the reason(s) for the finding.

### 1.D.9.b. Method of Appointment

The Final Eligibility List establishes the precedence of candidates in each specialty. Commander (CGPC-opm) shall establish cutoff points for each specialty based on the maximum number expected to be appointed during the next year to meet Service needs. Those above the appointment cutoff whose performance continues to be satisfactory shall be appointed as vacancies occur.

### 1.D.9.c. Eligibility for Further Enlisted Advancement

Candidates whose names appear at or above the cutoff for appointment to warrant grade or whose names appear below the cutoff but who are subsequently offered appointment to warrant grade are not eligible for advancement to E-7, E-8, or E-9. Recommendation of these members for advancement to E-7, E-8, or E-9 will be invalidated and their names will be removed automatically from established enlisted advancement eligibility lists 60 days after publication of the Final Eligibility List for appointment to warrant grade unless such members have notified Commander (CGPC-opm) and (CGPC-epm) of their intention to decline appointment to chief warrant officer.

### 1.D.9.d. Separation Prior to Appointment

The names of candidates who retire or are discharged from active duty prior to appointment will be removed from the Final Eligibility List. Candidates who subsequently reenlist in the Regular Coast Guard in grade E-6 or above within 3 months after date of discharge and remain qualified in all other respects, shall be considered in a continuous service status and their names shall be restored to the Final Eligibility List without loss of position. That position shall be at the top of the list if the candidate became eligible for appointment while not on active duty. (Refer to Article 1.D.2.a.)

### 1.D.9.e. Effective Date of the Final Eligibility List

The Final Eligibility List will normally be effective for from 01 June through 31 May following the Board. However, if Service needs dictate, appointments from a specific warrant specialty list may be made prior to 01 June if all candidates from the previous list of the same specialty have been offered appointments. Candidates above the appointment cutoff remaining on an eligibility list at the time a new list is established will be carried over to the top of the new list. Candidates below the appointment cutoff will not be carried over to a new list and should plan to recompete in the next cycle.

## 1.D.10. Removal from Eligibility Lists (Preboard or Final)

### 1.D.10.a. Procedure for Removal from the Preboard or Final Eligibility List

1. Removal from the Preboard Eligibility List. A candidate's name shall be removed from the Chief Warrant Officer Preboard Eligibility List upon receipt of adverse information by a commanding officer within the candidate's chain of command or Commander (CGPC-c). Adverse information is factual knowledge that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. When adverse information is received that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer, a candidate's current commanding officer, any commanding officer in the candidate's chain of command, or Commander (CGPC) has the authority to remove the candidate's name from the Preboard Eligibility List. Removal occurs

by notifying Commander (CGPC-opm) to remove the candidate's name from the Preboard Eligibility List. The removal from the Preboard Eligibility List may be initiated via memo or message to Commander (CGPC-opm). Conviction by a court martial, conviction by a civil court, receipt of non-judicial punishment, or receipt of an unsatisfactory mark in conduct after a candidate has applied for a warrant officer appointment is normally to be considered adverse information that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. The notification to remove a candidate's name from the Preboard Eligibility List is a final administrative action predicated on the judgment of the removing authority that the information received casts doubt on the candidate's moral or professional qualifications for appointment as a chief warrant officer. There is no procedure for reinstatement on a Preboard Eligibility List. The candidate may submit a new request for a chief warrant officer appointment in a subsequent year. The new request shall be submitted in accordance with the provisions of Chapter 1.D.

2. Removal from the Final Eligibility List. A candidate's name shall be removed from the Final Eligibility List upon receipt of adverse information by a commanding officer within the candidate's chain of command or Commander (CGPC-c), which information casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. When adverse information is received that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer, a candidate's current commanding officer, any commanding officer in the candidate's chain of command, or Commander (CGPC) has the authority to remove the candidate's name from the Final Eligibility List by notifying Commander (CGPC-opm) to remove the candidate's name from the Final Eligibility List. The removal from the Final Eligibility List may be initiated via memo or message to Commander (CGPC-opm). Conviction by a court martial, conviction by a civil court, receipt of non-judicial punishment, or receipt of an unsatisfactory mark in conduct after the candidate has been recommended by the chief warrant officer appointment board is normally to be considered adverse information which casts doubt on the candidate's moral or professional qualifications for appointment as a chief warrant officer. The memo or message removing a candidate's name from the Final Eligibility List shall contain the following information:

   a. Candidate's name.

   b. Length of service.

   c. Period of time candidate was observed.

   d. Reason for recommendation.

   e. Specific facts or circumstances relative to performance.

   f. Medical reports or opinions, if applicable.

   g. Nature of counseling and other steps taken to correct deficiencies.

   h. Candidate's response to counseling.

3. Upon receipt of the commanding officer's request to remove the candidate from the Final Eligibility List or when initiated by Commander (CGPC-opm), the candidate's name will be temporarily removed without conducting a special board. The candidate shall have an opportunity to review the recommendation and shall be permitted to make such comments as desired by endorsement to the commanding officer's request. If Commander (CGPC-c) initiates this action, the candidate shall be advised in writing of the contemplated actions and the reasons therefore and given the opportunity to provide comments as desired via the chain of command.

4. After the candidate has been temporarily removed from the Final Eligibility List, the case shall be reviewed at the Coast Guard Personnel Command by a special board of senior officers. The special board shall consist of at least three officers in the grade of commander or above. The membership shall include a representative from the Headquarters or CGPC division having cognizance of the candidate's specialty. After a thorough review of the candidate's Headquarters Personnel Data Record (PDR) and associated documents, the special board shall recommend to the Commandant either that the candidate be reinstated on the Final Eligibility List or that the candidate not be reinstated on the Final Eligibility List.

5. The recommendation of the Special Board to reinstate the candidate's name to the Final Eligibility List shall be forwarded to the Assistant Commandant for Human Resources for approval, modification, or disapproval. The Assistant Commandant may determine that special circumstances exist which warrant final action be taken by the Commandant. In the event of such a determination by the Assistant Commandant for Human Resources, the recommendation of the Special Board shall be forwarded to the Commandant for action.

6. The candidate will be advised of the results of the special board action.

   a. If the Commandant approves the special board's recommendation to return the candidate's name to the list and that candidate would already have been appointed, the candidate will be tendered the next available appointment.

   b. If the Commandant approves the special board's recommendation to return the candidate's name to the list and the candidate would not yet have been appointed, the candidate's name will be returned to the original position on the list.

   c. If the candidate's name is not reinstated on the Final Eligibility List, the candidate may submit a new request for a chief warrant officer appointment in a subsequent year. The new request shall be submitted in accordance with the provisions of Chapter 1.D.

### 1.D.10.b. Removal as Result of Personnel Security Investigation

A candidate's name will be removed from an eligibility list if a personnel security investigation casts doubt on the candidate's moral or professional qualifications.

(Refer to the Military Personnel Security Program, COMDTINST M5520.12 (series) for processing of investigations).

### 1.D.10.c. Declining Appointment or Removal at Own Request

1. Candidates who elect removal from the Preboard Eligibility List will be allowed to compete in the next warrant officer appointment process cycle if eligible.

2. Upon publication of the Final Eligibility List, candidates will be given two weeks from the date time group of the ALCGPERSCOM message to request removal from the list with a two-year loss of eligibility. A candidate who declines an appointment to warrant grade, or elects removal from the Final Eligibility List after the two-week period has elapsed shall be required to wait five years from the anniversary date of that election before being eligible to recompete. At the time the candidate makes either of the above elections, Commander (CGPC-opm) and (CGPC-epm) shall be notified by expeditious means, and the following Administrative Remarks (CG-3307) entry documenting the election, shall be made in the candidate's Headquarters PDR:

   DATE: "I have read and understand Article 1.D.10.c., Personnel Manual, COMDTINST M1000.6 (series). I voluntarily elect to be removed from the eligibility lists for appointment to warrant grade. I understand that I will not be eligible to apply for appointment to warrant grade for (two or five whichever is applicable) years from the anniversary date of this election. I understand that I will be eligible to reapply as a candidate for appointment to warrant grade on or about (date)."

3. Members declining appointments off an eligibility list through an offer of orders by an assignment officer incur a 5 year penalty. The Administrative Remarks (CG-3307) entry made in the candidate’s Headquarters PDR documenting this election shall be initiated by the member’s commanding officer. The text of the entry shall be the same as paragraph 2 above.

4. The exception to the five-year rule will be for candidates who decline appointment to CWO due to a documented personal hardship. Commander (CGPC-opm-1) must be notified of such candidates. Commander (CGPC-opm) will make the determination regarding whether the candidate should be exempt from the five-year rule for personal hardship. If an exemption is approved, the candidate will not be allowed to participate until after the hardship is resolved.

   The following Administrative Remarks (CG-3307) shall be entered into the candidates PDR.

   DATE: "I have read and understand Article 1.D.10.c., Personnel Manual, COMDTINST M1000.6 (series). I voluntarily elect to be removed from the eligibility lists for appointment to warrant grade. I understand that I will not be eligible to apply for appointment to warrant grade until my personal hardship has been resolved."

5. The original CG-3307 shall be forwarded immediately to Commander (CGPC-adm-3). If the five-year period has not expired or the personal hardship has not been resolved at such time as the candidate reenlists, the CG-3307 shall be retained in the PDR upon reenlistment.

6. A member declining appointment will be allowed to re-compete if their new eligibility date (i.e., 2 or 5 year anniversary) ends prior to the day the upcoming board convenes.

## 1.D.11. Procedure for appointment to warrant grade

### 1.D.11.a. Appointments

Appointments as chief warrant officers (W-2) will be made by the Secretary from among enlisted personnel of the Regular Coast Guard and Coast Guard Reserve who have been placed on an eligibility list as a result of approved action of a Coast Guard appointment board or upon successful completion of a Coast Guard approved Physician's Assistant Program. Letters of appointment and appointment certificates will be transmitted via the chain of command for delivery to the member.

### 1.D.11.b. Oath of Office

1. An oath of office is required and will be recorded on an Acceptance and Oath of Office (CG-9556) which is attached as an enclosure to the appointment letter. The oath of office shall not be executed prior to the date of rank specified in the appointment letter. The CG-9556 will be executed for the appointee's grade (W-2). (Refer to exhibit 1.D.2.) After the oath of office forms are completed, they shall be forwarded to Commander (CGPC-opm-1) along with a copy of the physical as required by Article 1.D.11e.

2. The Oath of Office can be administered by any commissioned officer of the Armed Forces, a United States Commissioner, a Judge of a Court of Record, a Clerk or deputy Clerk of a Court of Record, a Notary Public, or a Justice of the Peace.

### 1.D.11.c. Pay and Allowances

The pay and allowances of officers appointed under this article will accrue from the date of execution of the oath of office but not prior to the date of rank.

### 1.D.11.d. Withholding of Appointment

It is the responsibility of each officer in the chain of command to withhold an appointment letter if the appointee has become disqualified after publication of the Final Eligibility List. A disqualification as used herein is deemed to be any circumstance which casts doubt on the moral or professional qualifications of the person concerned for the appointment contemplated or an unsatisfactory mark in conduct for any subsequent period. This includes pending boards, courts-martial, or investigative proceedings. An appointment shall be withheld by returning the appointment letter to Commander (CGPC-opm-1) with a concise report of the circumstances. The appointee shall be furnished a copy of the report and shall be

required to acknowledge receipt. A signed copy of the acknowledgment shall be attached as an enclosure to the report.

### 1.D.11.e. Physical Examination

A commissioning physical is required for appointment. It must be reviewed and approved by Commander, Maintenance and Logistics Command (k) or designated clinical administrator prior to execution of the oath of office. If the appointee is physically qualified on the date of appointment, a copy of the approved Report of Medical Examination (SF-88) shall be forwarded to Commander (CGPC-opm-1) along with the completed oath of office form. If the appointee is not physically qualified on the date of appointment, the appointment letter along with the original SF-88 shall be returned to Commander (CGPC-opm-1). Commander (CGPC-opm-1) will remove the candidate's name from the Final Eligibility List. Candidates will be processed in accordance with the following chart:

| When initially offered appointment and candidate is above the cut and is | Action | If candidate subsequently becomes qualified and | Action |
|---|---|---|---|
| Qualified | Appoint | N/A | N/A |
| Not Qualified | Remove from list | Current list has not expired | Name goes to top of list above the cut. Tendered next available appointment |
| Not Qualified | Remove from list | Current list expired before cut was reached | Name goes to top of list above the cut Tendered next available appointment |
| Not Qualified | Remove from list | Current list expired after cut was reached | May recompete, if eligible |

| When initially offered appointment and candidate is below the cut and is | Action | If candidate subsequently becomes qualified and | Action |
|---|---|---|---|
| Qualified | Appoint | N/A | N/A |
| Not Qualified | Remove from list | Current list has not expired | Name goes to top of list below the cut. If vacancy occurs prior to expiration of current list tendered next appointment;otherwise may recompete if eligible |
| Not qualified | Remove from list | Current list has expired | May recompete if eligible |

### 1.D.11.f. Weight Standards

Compliance with established Coast Guard weight standards is required prior to execution of the oath of office. If the candidate does not meet the weight standards, the appointment letter shall be returned to Commander (CGPC-opm-1). Commander (CGPC-opm-1) will remove the candidate's name from the eligibility list. Candidates will be processed in accordance with the following chart:

| When initially offered appointment and candidate is above the cut and is | Action | If candidate subsequently becomes qualified and | Action |
|---|---|---|---|
| Meets established weight standards | Appoint | N/A | N/A |
| Does not meet established weight standards | Remove from list | Current list has not expired | Name goes to top of list by precedence. Tendered next available appointment. If current list expires prior to the next available appointment, then member may recompete if eligible |
| Does not meet established weight standards | Remove from list | Current list has expired | May recompete if eligible |

### 1.D.11.g. Discharge from Enlisted Status

Members who accept appointment as a chief warrant officer (W-2) will be discharged from their enlisted status upon acceptance of the appointment. The discharge will be effective as of the day before the date the candidate executes the oath of office. Discharge shall be for the convenience of the Government. Article 12.B.12. shall be cited as authority for discharge.

## 1.D.12. Appointment ceremony

The member’s commanding officer, or if absent, the executive officer shall preside over an appropriate formal ceremony to appoint the member to the grade of chief warrant officer (W-2) unless the member prefers a private ceremony. The ceremony should include these elements:

1. Honor the member's desire for a particular individual to administer the oath, if possible, consistent with the current laws on persons authorized to administer oaths.

2. The family, special guests and shipmates, as desired by the appointee should be invited to the ceremony.

3. A photographic record of the ceremony should be made and presented to the appointee. Press releases should be made to the appropriate media.

4. After the ceremony, a brief social gathering is recommended for the appointee(s) and guests.

5. If required, transportation within the confines of the military installation should be provided for guests.

## 1.D.13. Scope of Warrant Specialties

### 1.D.13.a. Aviation Engineering Specialty (AVI)

Warrant officers serving in the specialty of aviation engineering must meet the requirements of Aircraft Maintenance Officer as described in the Air Operations Manual, COMDTINST M3710 (series). They are operational and technical specialists in the field of aircraft maintenance. They serve as aircraft maintenance officers, assistant aviation engineering officers, and aviation project officers. They plan, schedule, and control all phases of aircraft maintenance. They provide technical advice and information concerning capabilities, limitations, and reliability of aircraft powerplants, accessories, airframes, avionics, and equipment. They direct and supervise practices and procedures for service, maintenance, overhaul, repair, inspection, alteration, modification, and adjustment of aircraft powerplants, accessories, airframes, avionics, and equipment. They formulate and supervise training programs and prepare, maintain, and submit personnel and material records, logs, reports, and accounts.

### 1.D.13.b. Bandmaster Specialty (BNDM)

Warrant officers serving in the specialty of Bandmaster will be in highly visible billets with significant public and media exposure. In addition, they will supervise large groups of subordinates as they prepare performances, rehearse and travel to events both nationally and internationally. They will also function in a role with their assigned unit similar to the role of an executive officer of an operational unit. Consequently, candidates must possess some knowledge of Coast Guard supply, personnel and administrative matters as well as knowledge of military protocol at ceremonial affairs. Refer to Article 1.D.14.c. for qualifications for appointment.

### 1.D.13.c. Boatswain Specialty (BOSN)

1. At sea, warrant officers serving in the specialty of boatswain are specialists in seamanship. They serve as officers in charge of small vessels, as division and repair party officers, assistant first lieutenants, and as battery officers on small ships. They plan and supervise the preservation of ships' hulls, superstructures and spaces; maintenance, repair, and operation of deck, cargo and buoy handling, anchor, and mooring gear; stowage of cargo; maintenance, repair, operation and equipping of small boats; replenishment operations at sea; stowing, security,

preservation, accounting and requisitioning of stores and equipment for the first lieutenant.

2. Ashore, warrant officers serving in the specialty of boatswain are general duty specialists **and seamanship specialists in operational commands.** They serve as officers in charge of small units; as executive officers of group commands, depots and bases; as first lieutenant, boats and vehicles officer, and yard boatswain and security officer at larger units.

3. Both at sea and ashore, warrant officers serving in the specialty of boatswain develop and supervise training programs; prepare, maintain and submit personnel, material and operational records, reports, and accounts.

### 1.D.13.d. Electronics Specialty (ELC)

Warrant officers serving in the specialty of electronics are technical specialists in the field of ship and shore, electronic equipment. Electronic equipment is defined as any equipment which transmits or receives intelligence by electrical or electromagnetic means (including landline and sonar equipment). They serve as officers in charge of electronics repair shops and as assistants to electronics officers; instructors in theory and repair of electronic equipment; and as command and staff officers concerning inspections, uses, capabilities, limitations, and reliability of electronic systems and equipment. They plan, direct, and supervise practices and procedures for maintenance and repair of electronic equipment; analyze, solve, and correct electronic operational and maintenance problems; and prepare, maintain, and submit personnel and material records, reports, and accounts.

### 1.D.13.e. Naval Engineering Specialty (ENG)

Warrant officers serving in the specialty of naval engineering are operational and technical specialists in the field of engineering and in machinery repair. They serve as engineering officers on smaller vessels and as assistants to engineering officers on larger vessels. They also serve as machinery repair officers and as technical advisers regarding the capabilities, limitations, and reliability of engineering equipment. They supervise handling, stowage, and expenditure of fuel oil, boiler, feed water, and potable water; direct and supervise installations; operation, testing, maintenance, and repair of engineering equipment; develop and supervise training programs; prepare, maintain, and submit engineering department personnel and material records and reports; and supervise procurement, stowage, preservation, and accounting practices for engineering department stores and repair parts. They shall be proficient in damage control, rigging, first aid, maintenance, and operation of gyrocompasses. They also serve on engineering duty under Industrial Section at Coast Guard bases, and at Naval Engineering Support Units (NESUs).

### 1.D.13.f. Finance and Supply Specialty (F&S)

Warrant officers serving in the specialty of finance and supply organize, plan, and supervise the work of personnel engaged in procurement, stowage, and issue of

supplies, including personnel engaged in commissary departments and disbursing offices. They supervise and direct personnel in the performance of duties including preparation of estimates of requirements, inventories of supplies and equipment, the audit of records, computation of pay, preparation of vouchers, and allocation of materials. They disburse public funds as assistant disbursing officers, agent cashiers, and imprest fund cashiers. They develop and supervise training programs, maintain and submit personnel and material records, reports, and accounts. Appointments to the warrant specialty of finance and supply may be subject to certification for finance and supply duties by Commandant (**CG-85**) or Commandant (**CG-83**).

### 1.D.13.g. Public Information Specialty (INF)

Warrant officers serving in the specialty of public information are specialists in all phases of public information as it applies to the Coast Guard. They serve as public information officers, assistant public information officers, and photographic officers, and provide expertise and supervision to personnel in the photojournalist rating.

### 1.D.13.h. Criminal Investigator (INV)

Warrant officers serving in the specialty of Criminal Investigator (INV) will be in highly visible billets with significant interaction with numerous Coast Guard commands, federal, state, local, and international law enforcement, and intelligence agencies. They are operational specialists in criminal investigations, protective service operations, operational intelligence collection, and technical specialists in the use of related law enforcement and operational intelligence collection equipment. They may serve in supervisory positions at the Resident Agent and Regional Office levels of the Coast Guard Investigative Service (CGIS), supervising subordinates in the conduct of criminal investigations, operational intelligence collection, protective service operations, and law enforcement liaison and task force assignments. They conduct, direct, and supervise criminal investigations, protective service operations, and operational intelligence collection; process crime scenes; collect, process, and preserve physical evidence; serve as subject matter experts regarding violations of the UCMJ and federal statues applicable to the U.S. Coast Guard; testify in civilian and military court; prepare, submit, and maintain criminal investigative and operational intelligence reports; supervise training programs; and prepare, maintain, and submit personnel and operational records and accounts. Many will function in a role with their assigned unit similar to the role of an executive officer of other Coast Guard operational units. Candidates must possess in-depth knowledge and skills associated with the federal criminal justice system, military justice system, police sciences, criminal justice administration, intelligence operations, Coast Guard supply, administration, and personnel matters, as well as knowledge of military protocol at public and ceremonial affairs as part of Protective Service Operations. **Refer to Article 1.D.15. for qualifications for appointment.**

### 1.D.13.i. Information Systems Management (ISM)

**Warrant Officers serving in the specialty of information systems management are technical specialists in all areas of information systems. They serve in command, control, and communication, computer and information technology (C4IT) positions at headquarter and a variety of other shore units. They are instrumental in the development and supervision of information systems and the enforcement of all information security policy and computer system requirements. Some of the specific areas of responsibility include hardware development, modification, and implementation of application servers, software releases, network hardware (routers, switches, local and wide area networks, etc.), and organizational information systems standardization, LANS, WANS and encryption devices. They also organize and supervise personnel working in information systems areas including information systems server system management, exchange server management, network management, telephony system management, information assurance, systems security, and general system support and administration.**

### 1.D.13.j. Material Maintenance Specialty (MAT)

Warrant officers serving in the specialty of materiel maintenance are operational and technical specialists in the fields of repair, maintenance, damage control and fire fighting aboard ship and at shore units. They serve as assistants to engineering and repair officers, as shop superintendents and technical advisors concerning uses, capabilities, limitations, and reliability of ship repair, fire fighting and damage control equipment, and as officer in charge of maintenance and repair detachments ashore. They organize and supervise personnel in ship repair and maintenance activities including electric arc welding, oxyacetylene welding and cutting, woodworking, metal working, boat repairs, damage control, piping and drainage, and NBC warfare defense facilities. They provide technical advice and information concerning use, characteristics, and limitations of building and construction materials; organize and supervise maintenance and repair forces on work involving repairs to buildings, towers, docks, bulkheads, street paving, pipelines including water and sewer lines. They develop and supervise training programs; supervise preparation, maintenance, and submission of personnel and material records and reports; and supervise procurement, stowage, preservation, and utilization practices for repair parts, building materials, and equipment.

### 1.D.13.k. Medical Administration Specialty (MED)

1. Warrant officers serving in the specialty of medical administration will administer nonprofessional aspects of medical and dental facilities ashore and afloat; manage administrative functions such as fiscal and supply, personnel, records and other related medical matters; promote and manage environmental sanitation programs; administer and serve as instructors in medical training programs; perform medical service planning and logistic duties; serve as assistants to inspectors in reviewing administrative organization and operations of medical and dental facilities.

2. In the absence of the medical officer and only because of the unavailability of such an officer, they shall carry out the functions of the medical facility insofar as they are qualified to do. They shall not be required to undertake or assume the professional duties or responsibilities of a medical or a dental officer.

### 1.D.13.l. Marine Safety Specialist (MSS)

**The Marine Safety Specialist (MSS) specialty, by design, is composed of members from a broad variety of enlisted ratings (AST, BM, DC, EM, GM, MK, MST and PS); generally broken down into two major qualification and competency areas; engineering and deck. The primary feeder ratings for engineering are DC, EM and MK; for deck they are AST, BM, GM and MST. Enlisted experience in the marine safety program is not a prerequisite for being selected as an MSS. It is more important that high performing candidates be selected from all of the feeder ratings to maintain the engineering/deck balance. Warrant officers serving in the specialty of marine safety are technical specialists in the fields of vessel inspection, casualty investigation, pollution mitigation and waterways management. They serve in a variety of roles including, but not limited to: marine inspectors, port state control officers, contingency planners, marine investigators, pollution investigators, Federal On-Scene Coordinator (FOSC) representatives and Federal Maritime Security Coordinator (FMSC) representatives. They conduct and supervise personnel in safety and security inspections, casualty investigations and pollution incident preparation, abatement and mitigation operations.**

### 1.D.13.m. Operations Systems Specialist (OSS)

**Warrant officers serving in the specialty of operations systems specialists are operational and technical specialists in the fields of security, surface operations and C3I systems. They serve as command security officers, and assistant operations officers; are expert in the C3I systems capabilities, limitations and reliability. They organize and supervise personnel in sector command centers and provide technical advice and information concerning physical and personnel security practices. They also advise commands on the proper methods of maintaining the Coast Guard's common operating picture.**

### 1.D.13.n. Personnel Administration Specialty (PERS)

Warrant officers serving in the specialty of personnel administration are specialists in general and personnel administration. They serve as personnel, education, and classification officers. They provide technical advice and information concerning officer and enlisted personnel regulations and administration. They organize and supervise personnel engaged in preparing and processing correspondence and personnel records, reports, and accounts; develop and supervise training programs; and administer recreational, travel, and procurement funds and allocation of officer materials and equipment. In order to qualify for Merchant Marine Safety duties, personnel selected for initial assignment thereto will receive special additional training.

### 1.D.13.o. Port Safety and Security Specialty (PSS)(RESERVE ONLY)

Warrant officers serving in the specialty of port safety and security are specialists in port safety, maritime security/anti-terrorism, enforcement of maritime laws and regulations and investigative methods. They serve as team leaders and supervisors at small units and detachments. At MSOs and staff positions, they serve as subject matter experts for dealing with port physical security, security inspections, marine environmental concerns, investigations, anti/counter terrorism, and maritime law enforcement. They can be designated as the Port Security Officer for "M" units. In all assignments, they develop and supervise training programs; and prepare, maintain, and submit personnel and operational records and accounts.

### 1.D.13.p. Weapons Specialty (WEPS)

Warrant officers serving in the specialty of weapons are operational and technical specialists in gunnery and ordnance. They act as assistant gunnery and ordnance repair officers; direct and supervise assembly, installation, operation, testing, maintenance, and repair of ordnance equipment; supervise testing, handling, stowage, preservation, requisitioning, issuing, and accounting practices and procedures for all ammunition and ammunition components; supervise stowage, preservation, security, requisitioning, and accounting practices and procedures for all ordnance equipment and repair parts; develop and supervise training programs; prepare, maintain, and submit ordnance, personnel, material, and operational records, reports, and accounts.

## 1.D.14. Appointment as Warrant Officer (Bandmaster)

### 1.D.14.a. Applications

Applications may be solicited from enlisted personnel in the Coast Guard, enlisted personnel from the other Armed Forces, or the civilian sector.

### 1.D.14.b. Minimum Eligibility Requirements

1. Other Armed Forces and Civilian Sector. The eligibility requirements will be specified in the soliciting media.

2. Coast Guard Enlisted Personnel. Refer to Article 1.D.2 for guidance.

3. Must meet the qualifications for warrant specialty (Bandmaster) **as outlined below.**

### 1.D.14.c. Qualifications for Warrant Specialty (Bandmaster)

1. Technical Qualifications.

a. Produce a musical program by selecting and adapting appropriate musical compositions or by arranging a musical score.

b. Demonstrate the ability to conduct a military band during a public performance.

c. Be knowledgeable of the close order military drill and the protocol for both military ceremonies and the rendering of honors.

d. Demonstrate knowledge of the maintenance and repair requirements for musical instruments including brass, strings, woodwinds, percussion, etc.

e. Prepare a military marching band for a performance with an understanding of the balance between showmanship and traditional military sharpness.

2. Administrative Qualifications.

a. Be familiar with Coast Guard budgeting policies and practices with particular knowledge of preparing justification of budget requests for both appropriated and non-appropriated funds.

b. Understand the Coast Guard policies for conducting official travel.

c. Demonstrate knowledge of the rank and rate systems for military members of the Coast Guard.

d. Demonstrate an understanding of the preparation of standard Coast Guard correspondence and the policies for maintenance of records and files.

3. Leadership Qualifications.

a. Demonstrate past experience in leading or commanding a military unit or organization.

b. Present evidence of having successfully represented the Coast Guard or other Armed Forces unit as a leader of the unit at parades, concerts, ceremonies, etc.

c. Present evidence of success in training subordinates or others in improving their skill as a musician or petty officer.

### 1.D.14.d. Application Procedures.

1. Upon solicitation by the Coast Guard for applications for appointment to warrant grade (Bandmaster), eligible personnel desiring appointment should submit applications to Commander (CGPC-opm-1).

2. The application file shall consist of the following:

a. Letter of application containing a comprehensive resume of personal, professional, and military history and experience, giving specific attention to musical education and experience.

b. Commanding Officer's Endorsement. The commanding officer's endorsement shall address the applicant's potential to perform successfully as a warrant officer. As enclosures to the endorsement, the commanding officer shall submit an Officer Evaluation Report (OER), Level I (CG-5311) will be prepared in accordance with Article 1.D.7.b.

### 1.D.14.e. Appointment Board

1. Convening the Board. The convening date of the board will be announced on the solicitation ALCGPERSCOM message.

2. Composition of the Board. The membership of the board shall consist of at least five members with a captain as senior member and additional officers not below the grade of chief warrant officer (W-2). Other nonvoting board members may be designated, as appropriate, for technical advice such as the Director, U. S. Coast Guard Band, a band director from any of the other Armed Forces, or both.

3. Oath of Members. Each member of the Board shall swear that they will perform the duties imposed without prejudice or partiality.

4. Standards for Recommendation. The Board shall recommend candidates for appointment for the warrant specialty of Bandmaster when it considers the candidates best qualified for appointment and promotion under the following standards:

   a. The warrant Bandmaster should be a versatile musician who can recruit, train, and assemble a variety of instrumental groups with particular emphasis on organizing a military marching band for ceremonial functions.

   b. The warrant Bandmaster must be capable of supervising diverse groups of people from paid consultants to volunteers to create a quality entertainment organization. The candidates must possess strong administrative skills and be capable of formulating budgets and to operate programs within budget guidelines.

   c. The warrant Bandmaster must have special skill for recruiting and auditioning instrumentalists, marketing performing events and be capable of constructing logistic support networks to conduct successful performances both on location and at the candidate's assigned command.

   d. The warrant Bandmaster should be knowledgeable in the general administrative practices of the Coast Guard. Candidates should be familiar with Coast Guard budgeting procedures, personnel administrative and evaluation processes, policies on human relations and equal opportunity and

the broad guidance for managing both appropriated and non-appropriated money.

e. The warrant Bandmaster candidates should possess good speaking and writing skills and have excellent public relations skills. They should represent the Coast Guard in every respect as quality, military role models.

5. Method of Selection.

a. The recommendation file and personnel records of all eligible candidates will be considered by an appointment board appointed by Commander (CGPC-c) to recommend candidates for appointment. The board shall not recommend candidates for appointment if their personal conduct and associations are such that reasonable grounds exist for rejection on the basis of loyalty. Also, although a candidate may have been considered as meeting the minimum requirements, the board may find trends or patterns of conduct, indebtedness, performance, or behavior which it considers disqualifying and therefore may not recommended the candidate for appointment.

b. The Board shall be held in two phases.

**Phase one.** Select a sufficient number of finalists, based on overall review of the candidate records and recommendation files, to be interviewed in phase two.

**Phase two.** Consider all finalists for appointment to warrant grade. The Board shall:

a) Evaluate each finalist's qualifications, personal characteristics, and other data pertinent to the application.

b) Interview each finalist to appraise those personal attributes of the individual which must necessarily complement the finalist's technical qualifications for service as a warrant officer in the Coast Guard. In view of the unique position under consideration, emphasis should be placed on the finalist's potential for leadership and management.

c) Evaluate each finalist's performance during a conducting audition.

d) Select, in numbers not to exceed those authorized in the precept convening the board, those finalists who are best qualified to be appointed to warrant grade.

6. Submission of Reports of Boards.

a. The Board shall submit its report as outlined in Article 1.D.8.f. to the Commandant for approval, modification, or disapproval.

b. After the Commandant has approved the report and the Secretary has granted appointment authority, the candidates concerned shall be promptly notified of the Board results through publication of the Final Eligibility List by ALCGPERSCOM message. Individual notification will not be made. All primary candidates found not fully qualified by the Board will receive a letter from Commander (CGPC-opm-1) stating the reason(s) for the finding.

### 1.D.14.f. Procedures for Appointment

Procedures for appointment to warrant grade are outlined in Article 1.D.11.

### 1.D.14.g. Procedures for Appointment Ceremony

Procedures for the Appointment Ceremony are outlined in Article 1.D.12.

## 1.D.15. Appointment as Warrant Officer (Criminal Investigator)

### 1.D.15.a. Applications

Applicants will be solicited from all current enlisted Special Agents in pay grades E-6 through E-9 only. Enlisted personnel from other Armed Forces, or individuals from the civilian sector are not eligible to apply.

### 1.D.15.b. Minimum Eligibility Requirements

1. All members currently serving as Special Agents in paygrades E-6 through E-9 are considered eligible for recommendation to CWO (INV) if:

   a. They have served six months as a Special Agent computed to 1 January of the year in which the Chief Warrant Officer (CWO) Appointment Board convenes. The six-month requirement shall commence upon reporting to their assigned CGIS duty station following successful graduation from the Federal Law Enforcement Criminal Training program.

   b. Meet the general requirements outlined in Article 1.D.2 and 1.D.15.c. of this manual with the following exceptions:

      (1) Members currently serving as Special Agents in pay grades E-6 through E-9 are not required to be CWO eligible in their current rating (e.g. MK, YN, **AST**, etc) to apply for CWO (INV).

      (2) Sea duty requirements in current rating are waived if applying for CWO (INV).

      (3) Members serving as Special Agents in pay grade E-6 are not required to be on any current advancement list. However they must have served 2 years in paygrade E-6 of which six months must have been served as a Special Agent by 1 January of the year in which the Chief Warrant Officer

(CWO) Appointment Board convenes.

**NOTE: Art. 1.D.15.b.1.b. (1) through (3) apply only to Active Duty applicants. Reserve component IVs seeking appointment to INV are required to meet the general requirements contained in Article 1.D.2.**

2. In order to receive consideration in the selection board process for CWO (INV), current enlisted special agents must follow the procedures outlined in Article 1.D.15.d.

### 1.D.15.c. Qualifications for Warrant Specialty (Criminal Investigator)

1. Technical Qualifications.

   a. Must be a graduate of a Federal Law Enforcement Criminal Investigator Training program. **(Applies only to active duty applicants.)**

   b. Be knowledgeable in Coast Guard authority and jurisdiction and maritime law enforcement operations.

   c. Be knowledgeable in Coast Guard operational intelligence in support of Coast Guard operations and national intelligence collection requirements.

   d. Be knowledgeable in the use of law enforcement and operational intelligence collection equipment.

2. Administrative Qualifications.

   a. Must successfully pass a Single Scope Background Investigation (SSBI) for a security clearance.

   b. Have an understanding of the preparation of standard Coast Guard correspondence and the policies for maintenance of records and files.

   c. Be familiar with Coast Guard budgeting and procurement policies and practices with particular knowledge of preparing justification of budget requests and for conducting official travel.

3. Leadership Qualifications.

   a. Demonstrate past experience in leading or commanding a military unit or organization.

   b. Demonstrate past experience of having represented the Coast Guard in an official capacity.

c. Demonstrated success in training subordinates or others in improving their leadership and technical skills.

### 1.D.15.d. Application Procedures

1. Current enlisted E-6 through E-9 Special Agents desiring consideration for appointment to CWO (INV) must receive positive recommendation of the Regional Special Agent in Charge in addition to the procedures outlined in Article 1.D.3.

2. Commander (CGPC-opm-1) will publish, by ALCGPERSCOM message, a Preboard Eligibility List announcing primary and alternate candidates. All candidates identified in the Preboard Eligibility List shall follow additional guidance outlined in Articles 1.D.7. through 1.D.12.

### 1.D.15.e. Lateral Change in Warrant Specialty to CWO (INV)

1. Personnel requesting a lateral change in specialty to CWO (INV) shall follow guidance outlined in Article 5.B.9., and meet the following minimum requirements:

   a. Have completed a minimum of one year of college (30 credit hours), verified by college transcript. A waiver of this requirement will be considered if warranted.

   b. Have completed at least one year of sea duty, Commander (CGPC-opm) may waive this requirement.

   c. Have no record of mental illness, alcoholism, or offenses involving moral turpitude.

   d. Possess a valid state motor vehicle operator’s license.

   e. On application be in excellent physical condition.

   f. Be eligible for a Top Secret Security Clearance and maintain eligibility throughout assignment to CGIS.

   g. Applicants must possess normal color vision and hearing. The normal color perception eligibility requirements does not apply to existing or former special agents who successfully served in a special agent position prior to 13 July 2001.

   h. If approved for lateral to CWO (INV), agree to remain on active duty for a period of four years from successful completion of the Criminal Investigator Training Program at the Federal Law Enforcement Training Center. **(Applies only to active duty applicants.)**

2. All current warrant officers desiring a lateral to the CWO (INV) specialty shall provide the following information.

   a. A lateral letter request to Commander (CGPC-opm) routed through their chain of command, the local Regional CGIS Special Agent in Charge, and Director Coast Guard Investigative Service.

   b. Enclosures to the letter shall include a resume request addressing the candidate's qualifications as outlined in Article 1.D.15.c., no more than 2 pages in length and a copy of the requester's most recent Officer Evaluation Report (OER).

### 1.G.12.b. Enlistment in the Coast Guard Reserve

When an individual enlists in the Coast Guard Reserve within 24 hours after his or her discharge from the Regular Coast Guard, at the same unit from which discharged:

1. Enlistment/Reenlist Document, DD-4/1

2. BAQ Dependency/Emergency Data/SGLI Election, CG-4170A.

### 1.G.12.c. Reservist's Reenlistment within 24 Hours after Discharge

Upon reenlistment within 24 hours after discharge of a reservist at the same district or unit from which discharged:

1. Enlistment/Reenlist Document, DD-4/**1**

2. Dependency/Emergency Data/SGLI Election, CG-4170A.

### 1.G.12.d. Enlistments and Reenlistments after 24 Hours

All enlistments or reenlistments more than 24 hours after discharge, or within 24 hours at a unit other than the one from which discharged shall be effected at a Coast Guard recruiting office.

## 1.G.13. Service and Health Personnel Data Records (PDRs)

### 1.G.13.a. Personnel Data Records

If accomplished within 24 hours after discharge at the unit from which discharged, reenlistment is a continuation of the member's status. The working Personnel Data Record also is continued and will be maintained as prescribed in the Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).

### 1.G.13.b. Medical Personnel Data Records (MED PDR) (Health Record)

Health records will be opened and maintained in accordance with the Medical Manual, COMDTINST M6000.1 (series) and the Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).

## 1.G.14. Reenlistment Ceremony

Reenlistment is a major event in the career of an enlisted member, and shall be accorded appropriate meaningful ceremony to render full recognition of the high quality performance attested to by recommendation for reenlistment. The commanding officer or, in his or her absence, the executive officer should preside. The following procedures are considered appropriate:

1. The family, special guests, and shipmates, as desired by the person being honored, should be invited to the ceremony.

2. A particular officer to administer the oath may be requested by the member.

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

## 1.G.15. Periods of Extensions of Enlistment

### 1.G.15.a. Extension of Term of Enlistment

By voluntary written agreement subject to the commanding officer's approval, career personnel may extend or reextend their term of enlistment as follows provided the extension does not extend beyond his or her High Year Tenure (HYT) Professional Growth Point (PGP) unless the HYT Program has been suspended due to Service needs. Article 12.G.3. Before allowing a member to enter into an agreement to extend a term of enlistment as provided herein, the member shall be fully advised of the effects that such an extension could have on computing or paying a Selective Reenlistment Bonus; Chapter 3.**C**.

1. For any number of full years not less than **one** nor **more than six years for members who have less than 10 years active service. When a one year extension of enlistment is granted, for the purposes outlined in Art. 1.G.15.a.2, the member's unit shall notify CGPC(epm-2) by message or email to the member's assignment officer.**

2. For any number of full years and/or full months up to six years to ensure sufficient obligated service for these purposes:

   a. Attend a resident school.
   b. INCONUS and OUTCONUS assignments; Article 4.B.6.
   c. Advance to E-7, E-8, or E-9; Articles 5.C.25.e. and 12.B.12.b.2.
   d. Meet an approved retirement date; Article 12.C.11.a.2.b.(4).

3. For any number of full months less than 1 year in order to complete a **deployment** on a vessel scheduled to be absent on the member's normal date of expiration of enlistment. Article 12.B.11.d.

4. For one year or other such period as Commander (CGPC-epm) may authorize in specific cases.

### 1.G.15.b. Non-U.S. Citizens

If a non-U.S. citizen (alien) at the time of original enlistment, a member must be a naturalized citizen to extend enlistment. Only the Commander, (CGPC) may authorize non-U.S. citizens to extend their enlistment. This does not apply to a member who enlisted from the Republic of the Philippines.

### 1.G.15.c. Total of Extensions

The total of all extensions of an enlistment may not exceed six years.

### 1.G.15.d. Eligibility to Extend

To be eligible to extend enlistment for any amount of time, personnel must meet the same minimum characteristic average required for reenlistment described in Articles 1.G.5. through 1.G.**7**. Article 12.B.48. contains instructions on determining average marks.

1. If a member meets the prescribed final minimum average for extending or reenlisting in only one of the two marking systems, the commanding officer notifies Commander, (CGPC-epm) or (CGPC-rpm) by letter of the situation at the earliest possible date. The letter must include at least the final averages for the member's marks under both marking systems and a definite recommendation whether he or she should be allowed to extend.
2. If a member does not meet the criteria in either marking system but the commanding officer feels a short extension is warranted, he or she may request such extension from Commander, (CGPC-epm) or (CGPC-rpm). Approval of such extensions will be on a case-by-case basis.

### 1.G.15.e. First Term Personnel

The term of enlistment for first term personnel may only be extended for the minimum period required to attend a resident or other schools, to participate in the Coast Guard Tuition Assistance Program, or for duty INCONUS or OUTCONUS. Commanding Officers are authorized to extend these members in order to meet only the minimum service required without referring to CFTRR or CGPC.

### 1.G.15.f. Reserves' Enlistment Term

A Coast Guard Reserve enlisted person serving on extended active duty may, by his or her voluntary written agreement be approved by his or her commanding officer, extend or re-extend his or her enlistment term in accordance with Article 1.G.15.

### 1.G.15.g. War or National Emergency

When a war or national emergency declared by Congress begins, the Commandant involuntarily extends all Reserve enlistments in effect which otherwise would expire until six months after the war or national emergency ends, whichever is later.

### 1.G.15.h. Officer Candidate

The enlistment of a person designated as an officer candidate shall be involuntarily extended by such period as he or she may remain in such status beyond the normal expiration thereof.

### 1.G.15.i. Reservist Not on Extended Active Duty

The enlistment term of a Coast Guard Reserve enlisted member not serving on extended active duty may, with their voluntary written agreement approved by the district commander (a), be extended for a period of 60 days, six months, one, two, three, or four years, or longer if necessary to ensure a six-year Selected Reserve affiliation required by the Selected Reserve Educational Assistance Program (Montgomery G.I. Bill). Effect only one extension of 60 days or six months during any one enlistment. The total of all extensions to any single enlistment may not exceed four years, except for the sole purpose of meeting the affiliation requirement for the Montgomery G.I. Bill. Execute extensions before the enlistment expires. However, if during such an extension the reservist desires to reenlist, the district commander (a) may authorize discharge and immediate reenlistment for any term of years listed in Article 1.G.2.

### 1.G.15.j. Extension of Enlistment for a Reservist

When a reservist not on active duty has indicated he or she intends reenlist but is not able to report for reenlistment on the day following the normal expiration date of his or her enlistment, the district commander (a) is authorized to extend his or her enlistment with his or her consent, for a period not to exceed 60 days, to permit reenlistment the day following discharge.

## 1.G.16. Extension to Attend School or for Assignment to Duty Outside the United States

### 1.G.16.a. Obligated Service

An enlisted person who does not have sufficient obligated service remaining in his or her enlistment period who applies for transfer to a Service school or duty outside the United States continental limits, including Alaska, shall signify in the application for training or duty OUTCONUS his or her willingness to execute the required extension. Do not execute the agreement until after the selection for such transfer has been made. In all such cases, the voluntary agreement to extend enlistment must be executed and accepted by the commanding officer before the transfer is effected.

### 1.G.16.b. First Term Personnel

The term of enlistment for first term personnel may only be extended for the minimum period required to attend a resident or other schools or for duty inside or outside CONUS. Commanding Officers are authorized to extend these members to meet only the minimum service required without referring to CGPC.

### 1.G.16.c. Application to Reservists

Provisions of this article shall apply to enlisted personnel in the Coast Guard Reserve on extended active duty applying for extension of enlistment.

## 1.G.17. Physical Examination for extensions of enlistments

### 1.G.17.a. Extension of Enlistment

A physical examination is not required prior to signing an extension of enlistment. However, the commanding officer or officer in charge shall, prior to the extension, review the member's Health record and require him or her to undergo a physical examination when evidence in the record or personal knowledge indicates a potential health problem. This article does not eliminate the physical examination requirements set forth in the Medical Manual, COMDTINST M6000.1 (series).

### 1.G.17.b. Report of Medical Examination

When physical defects are found to exist, the Report of Medical Examination, SF-88, will be forwarded to Commander (CGPC-epm) in duplicate, together with a letter of transmittal setting forth the facts in the case and including a copy of the closed out form CG-3306 dated 30 June 1983 showing average Proficiency, Leadership, and Conduct marks and a copy of the current Form CG-3306 showing factor marks for his or her current enlistment. The duplicate of SF-88 will be returned showing the Commander (CGPC-epm) authority to accept or reject the agreement to extend.

### 1.G.17.c. Physical Examinations for Reservists

For reservists, the District commanders may waive physical examination upon extension of enlistment in accordance with the provisions of the Coast Guard Reserve Policy Manual, COMDTINST M1001.28 (series).

## 1.G.18. Executing Agreement to Extend Enlistment

### 1.G.18.a. Legal and Binding

To be legal and binding, the member concerned must enter an agreement to extend his or her enlistment with his or her commanding officer on Agreement to Extend Enlistment, CG-3301B. Agreements on other than this form are informal and unofficial and the individual could repudiate or withdraw them at any time. **Art. 1.G.10.a. defines personnel who are authorized to administer oaths.**

### 1.G.18.b. Agreement to Extend

An individual may not extend his or her enlistment more than three months (for regular active duty) or 30 days (for reservists) before the date the existing enlistment expires. For certain purposes, however, such as assignment to a Service school, duty outside CONUS, other duty requiring additional obligated service, or enabling a reservist to meet the 6-year selected Reserve affiliation requirement for the Montgomery G.I. Bill, an individual may extend his or her enlistment considerably in advance. An individual

may not extend more than three months early for SRB bonus purposes only. (Article 1.G.15.). Execute an Agreement to Extend, CG-3301B. Do not use Form CG-3301B to record retentions in the Service made in accordance with Article 12.B.11, whether voluntary or involuntary. Record such retentions using the appropriate transaction in accordance with the **Personnel and Pay Procedures Manual, PPCINST M1000.2 (series).**

## 1.G.19. Operative Extension Date

Unless canceled for one of the reasons in Article 1.G.20, an Agreement to Extend Enlistment becomes operative on the date next following the normal date the enlistment expires or the enlistment expiration date as voluntarily extended or as extended to make up time not served (Article 12.B.11.), as appropriate.

## 1.G.20. Canceling an Extension Agreement

A properly executed Agreement to Extend Enlistment, CG-3301B, is a valid modification to an enlistment contract, and reflects a commitment by both the Government and the member.

1. An extension of enlistment may not be canceled after it begins to run, either for the convenience of the Government or the person concerned.

2. An appropriate authority may cancel an Agreement to Extend Enlistment at any time before the extension begins to run if any of these situations applies.

   a. The commanding officer shall cancel an Agreement to Extend Enlistment in the following cases:

      (1) The service member is absent over or without leave on the date the original enlistment term expires, unless the commanding officer believes the member absented him- or herself to cancel the agreement to extend.

      (2) Before closing the Personnel Data Record on desertion, if it occurs before the date the extension begins to run.

      (3) When the commanding officer receives orders to discharge the member before the date the extension begins to run.

      (4) When an individual's performance of duty or conduct is unsatisfactory and the commanding officer believes the member is not suitable to retain in the Service. Enter the facts in full on Administrative Remarks, CG-3307.

## *CONTENTS*

***3.A. ENLISTMENT BONUS***
3.A.1. General
3.A.2. Glossary of Terms
3.A.3. Policy
3.A.4. Eligibility Criteria
3.A.5. Loss of Eligibility and Recoupment
3.A.6. Payment Procedures
3.A.7. Recoupment Procedures
3.A.8. Responsibilities
3.A.9. Forms/Reports

***3.B. CRITICAL SKILLS RETENTION BONUS (CSRB)***
3.B.1. General
3.B.2. Glossary of Terms
3.B.3. Types of Contractual Agreements
3.B.4. Maximum Bonus Amount
3.B.5. Method of Payment
3.B.6. Special Conditions
3.B.7. Relationship to Other Entitlements
3.B.8. Determining Eligibility
3.B.9. Conditions of the CSRB Agreement, Reenlistment Contract or Agreement to Extend Enlistment
3.B.10. Applying for the Critical Skills Retention Bonus
3.B.11. Disapproving Bonus Payments
3.B.12. Terminating or Recouping Critical Skills Retention Bonus
3.B.13. Critical Skills Retention Bonus Recoupment Calculations

***3.C. SELECTIVE REENLISTMENT BONUS (SRB) PROGRAM***
3.C.1. General
3.C.2. Glossary of Terms
3.C.3. Written Agreements
3.C.4. Criteria for Individual Member Eligibility
3.C.5. Special Conditions
3.C.6. Changes in Multiples
3.C.7. Amount of Payment
3.C.8. Method of Payment
3.C.9. Termination of Bonus Entitlement and Recoupment
3.C.10. Suspension of Bonus Entitlement
3.C.11. Required Administrative Remarks, CG-3307, Entries for SRBs
3.C.12. Frequently Asked SRB Questions

***3.D. OFFICER ACCESSION BONUS (OAB) PROGRAM***
3.D.1. General
3.D.2. Glossary of Terms
3.D.3. Maximum Bonus Amount
3.D.4. Maximum Term for Bonus Purposes
3.D.5. Method of Payment
3.D.6. Relationship to Other Entitlements
3.D.7. Eligibility Criteria
3.D.8. Recoupment for Failure to Commence or Complete Active Duty Service Commitment
3.D.9. Responsibilities
Exhibit 3.D.1 Officer Accession Bonus Agreement

***3.E. CRITICAL SKILLS TRAINING BONUS (CTSB) PROGRAM***
**3.E.1. General**
**3.E.2. Glossary of Terms**
**3.E.3. Policy**
**3.E.4. Eligibility Criteria**
**3.E.5. Loss of Eligibility and Recoupment**
**3.E.6. Payment Procedures**
**3.E.7. Responsibilities**
**3.E.8. Forms/Reports**

4. Be serving in pay grade E-3 (with appropriate designator), or higher on active duty in a rating that is designated as eligible for an SRB multiple.

5. Reenlist or extend enlistment in the Regular Coast Guard for a period of at least 3 full years.

6. Have not previously received a Zone A SRB.

7. Attain eligibility prior to the termination of a multiple for that particular rating.

8. Meet any additional eligibility criteria the Commandant may prescribe.

### 3.C.4.b. Zone B Eligibility

To receive a Zone B SRB, the member must meet the following criteria:

1. Reenlist not later than 3 months after discharge or release from active duty in a rating authorized an SRB multiple.

2. Have completed 17 months continuous active duty (including extended active duty as a Reserve) at any point in their military career. The 17 months continuous active duty need not have been completed immediately prior to the reenlistment or extension.

3. Have completed at least 6 but not more than 10 years active service on the date of reenlistment or the operative date of the extension.

4. Be serving in pay grade E-5 or higher. Personnel who are changing rate, as approved by the Commandant, are eligible as an E-4 provided they were E-5 or higher immediately prior to changing rate.

5. Reenlist or extend enlistment in the Regular Coast Guard for a period of at least 3 full years, provided the reenlistment or extension, when added to existing active service, will provide a total active duty of no less than 10 years.

6. Have not previously received a Zone B SRB.

7. Attain eligibility prior to the termination of a multiple for that particular rating.

8. Meet any additional eligibility criteria the Commandant may prescribe.

### 3.C.4.c. Zone C Eligibility

To receive a Zone C SRB, the member must meet the following criteria:

1. Reenlist not later than 3 months after discharge or release from active duty in a rating authorized an SRB multiple.

2. Have completed 17 months continuous active duty (including extended active duty as a Reserve) at any point in their military career. The 17 months continuous

active duty need not have been completed immediately prior to the reenlistment or extension.

3. Have completed at least 10 but not more than 14 years active service on the date or reenlistment or the date on which the extension of enlistment begins to run.
4. Be serving in pay grade E-6 or higher.
5. Reenlist or extend enlistment in the Regular Coast Guard for a period of at least 3 full years.
6. Have not previously received a Zone C SRB.
7. Attain eligibility prior to the termination of a multiple for that particular rating.
8. Meet any additional eligibility criteria the Commandant may prescribe.
9. Application criteria will be provided in the ALCOAST announcing the SRB.

## 3.C.5. Special Conditions

1. Members with exactly 6 years active duty on the date of reenlistment or operative date of extension will be entitled to the Zone A multiple in effect for their rating if they are otherwise eligible. If they have previously received a Zone A bonus or no Zone A bonus is designated, they are entitled to a Zone B bonus if one is in effect.

2. Members with exactly 10 years active duty on the date of reenlistment or operative date of extension will be entitled to the Zone B multiple in effect for their rating if they are otherwise eligible. If they have previously received a Zone B bonus or no Zone B bonus is designated, they are entitled to a Zone C bonus if one is in effect. **However, members who have exactly 10 years of active services and are entitled to the Zone B SRB will not enter into an indefinite reenlistment as described in Art. 1.G.6. The term of reenlistment for these members will be three, four, five or six years.**

3. Members with exactly 14 years active duty on the date of reenlistment or operative date of extension will be entitled to the Zone C multiple in effect for their rating if they are otherwise qualified.
4. Only extensions/reenlistments of 3 years or longer may be used to establish eligibility for SRB. Specifically, two or more extensions may not be combined to establish SRB eligibility. Additionally, entitlement in the same Zone cannot be increased by future extensions. Qualified members "Lock into" SRB multiples and bonus ceilings that are in effect at the time an extension agreement is executed.
5. Under no circumstances will an individual be permitted to extend their enlistment more than 3 months early for SRB purposes alone. However, a member who must extend for some other reason (i.e., transfer, training, advancement, or tuition assistance) may extend for a period greater than the minimum required for the purpose of gaining entitlement to an SRB.

## Contents

*3.E. Selected Reserve (SELRES) Enlisted Bonus Programs* ____ *2*

**3.E.1. General** ____ **2**

**3.E.2. Glossary of Terms** ____ **2**

**3.E.3. Responsibilities** ____ **3**

**3.E.4. Maximum Bonus Amounts** ____ **3**

**3.E.5. Affiliation Bonus Program** ____ **3**

**3.E.6. Enlistment Bonus Program** ____ **4**

**3.E.7. Prior Service Enlistment Bonus Program** ____ **6**

**3.E.8. Reenlistment/Extension Bonus Program** ____ **8**

**3.E.9. Subsequent Payments** ____ **10**

**3.E.10. Special Conditions** ____ **10**

**3.E.11. Termination** ____ **11**

**3.E.12. Calculation of Recoupment** ____ **12**

# 3.E. Selected Reserve (SELRES) Enlisted Bonus Programs

## 3.E.1. General

**SELRES Enlisted Bonus Programs (SEBP) are incentives to encourage the recruitment, proficiency and retention of individuals in designated ratings or units in the SELRES. The SEBP is authorized in 37 U.S.C., Sections 308b, 308c, 308e, and 308i. The authority to execute payment of all bonus programs described in this section is subject to authorization in law and appropriation of funds.**

## 3.E.2. Glossary of Terms

1. **<u>Initial Active Duty for Training (IADT)</u>. A term used to identify the basic training or the equivalent each military member must complete on initial entry in the Coast Guard, as required by 10 U.S.C. 671 and 12301, to qualify for deployment on land outside the U.S. and its territories and possessions.**

2. **<u>Military Service Obligation (MSO)</u>. The total required service each person who initially becomes a member of the Coast Guard shall serve, unless sooner discharged. The MSO for any person whose initial entry into a military service is on or after 1 June 1984 is eight years from date of enlistment.**

3. **<u>Secondary School Graduate</u>. For SEBP purposes, this term includes recipients of**

   a. **a high school diploma issued from the school where the individual is credited with completion of 12-year or grade day program requirements;**

   b. **a secondary school diploma awarded for completing an adult education diploma issued by a state or by a secondary or post-secondary educational institute;**

   c. **a diploma or certificate of General Education Development (GED) or other test-based high school equivalency diploma; and,**

   d. **a secondary school diploma or certificate typically awarded by a state, based on certification by a parent or guardian that an individual has completed secondary school at home.**

## 3.E.3. Responsibilities

1. **Commandant (CG-131)**

   a. **establishes SEBP policy and manages Reserve bonus programs;**

**b. determines bonus-eligible ratings and units;**

**c. specifies implementation of available SEBP incentives at least annually;**

**d. monitors accessions and losses to evaluate program effectiveness;**

**e. evaluates funding and policy changes, as necessary, to meet current and future staffing requirements; and,**

**f. considers requests for waivers, other than waiver of effective dates for eligibility and situations outside strict policy guidelines.**

**2. Integrated Support Command (pf) staffs**

**a. consider bonus obligations when assigning SEBP participants, insofar as certain unit assignments may lead to all or part of a bonus being recouped;**

**b. monitor Ready Reservists' participation and SEBP recipients' eligibility, and recommend bonus termination to PSC (mas), when necessary.**

**3. Personnel Service Center**

**a. pays bonuses to SEBP participants;**

**b. terminates and recoups bonuses from personnel who fail to comply with their SEBP agreements; and,**

**c. tracks and provides SEBP participation, termination, and recoupment data to Commandant (CG-131).**

**4. SPOs**

**a. verify members' completed bonus agreements; and,**

**b. forward applicable SEBP documents to PSC (mas) in a timely manner.**

**5. Units**

**a. monitor members' participation and SEBP eligibility; and,**

**b. process, verify correctness, and forward SEBP documents to servicing SPO.**

**6. Recruiting Offices process, verify correctness, and forward SEBP documents to servicing SPO (Training Center Cape May for RP and RK Program accessions, who attend eight-week basic training; assigned unit's servicing SPO for all others, including those who attend two-week Reserve Enlisted Basic Indoctrination). See Chapter 3 of the Recruiting Manual,**

**COMDTINST M1100.2 (series), for descriptions of the different Reserve accession programs.**

7. **Members**

   a. **Ensure they fully understand SEBP obligations when accepting and requesting assignments, the result of which may lead to all or part of a bonus being recouped;**

   b. **verify that all bonus documents they sign are correct and complete; and,**

   c. **submit written requests for secondary bonus payments, if applicable, to PSC (mas), through the chain of command.**

## 3.E.4 Maximum Bonus Amounts

**The maximum amounts for bonus categories are prescribed in 37 U.S.C., Chapter 5. Commandant (CG-13) will provide a listing of authorized bonus amounts to Commanding Officer, Coast Guard Recruiting Command, and other appropriate offices, at least annually, and may authorize lesser dollar amounts than those prescribed by law, depending on legislative authority, budget, and program needs. In order to lock into a bonus level or amount, members must execute a bonus agreement and meet all eligibility requirements. Requests to waive effective dates for eligibility will not be considered.**

## 3.E.5 Affiliation Bonus Program

1. **37 U.S.C. 308e authorizes a bonus for eligible personnel leaving active duty who affiliate with the SELRES. Members who receive an affiliation bonus are not barred from later being paid a reenlistment or extension bonus under 3.E.8. Members discharged under the temporary separation policy who affiliate with the SELRES and meet the eligibility criteria below are also authorized to receive this incentive (see Article 12.F of this Manual). SEBP participants who return to active duty under the temporary separation policy may be subject to partial recoupment of any unearned bonus (Article 3.E.11).**

2. **Eligibility. To be eligible to receive a bonus for SELRES affiliation a person:**

   a. **must be released from active duty (RELAD) under honorable conditions from the Coast Guard or another military service;**

   b. **must be eligible for reenlistment or for extension of his or her active duty;**

   c. **must not have previously received an affiliation bonus for service in the SELRES;**

**d. must have satisfactorily completed his or her term of enlistment or period of obligated active duty service, or have 180 days or less remaining on his or her active duty obligation;**

**e. must affiliate with the SELRES within six months of RELAD date, for a minimum of three years in the rating or unit for which the bonus was authorized unless authorized to change to another bonus eligible rating or unit;**

**f. must not already have a mandatory SELRES obligation at the time of RELAD; and,**

**g. must execute a written agreement (see Eclosure (6) of Personnel and Pay Procedures Manual, PSCINST M1000.2(series).**

**3. Amount and payment method. The amount of the bonus shall be prescribed annually by Commandant (CG-13) in accordance with Article 3.E.4. The bonus will be paid in an initial payment of one-half of the total bonus amount. Members must submit a written request to PSC(mas) via their chain of command for the remainder of the bonus amount one year after the date of the initial payment.**

**4. Application.**

**a. <u>Servicing SPO</u>. Prepare or review completed Report of Separation from Active Duty (DD Form 214), orders to a SELRES assignment, and the appropriate Administrative Remarks (CG-3307). The Administrative Remarks (CG-3307) shall be faxed to PSC (mas).**

**b. <u>PSC (mas)</u>. Upon receipt of the Administrative Remarks (CG-3307), and at such time as the documents are processed by the pay system, make bonus payments as directed in paragraph 3 above.**

## 3.E.6 Enlistment Bonus Program

**1. 37 U.S.C. 308c authorizes a bonus to eligible personnel who enlist in the SELRES in ratings or units designated most critical (Level I) or critical (Level II).**

**2. Eligibility. To be eligible to receive a SELRES enlistment bonus a person must enlist in the Coast Guard Reserve via the RX, RA, RP or RK accession program and:**

**a. must be a graduate of a secondary school;**

**b. must have never previously served in an armed force;**

**c. must be assigned to a bonus eligible rating or unit at the time of enlistment, and must agree to serve in the SELRES for not less than six years in the rating or at the unit for which the bonus was authorized, unless authorized to change to another bonus eligible rating or unit; and,**

**d. must execute a written agreement (see Enclosure (6) of Personnel and Pay Procedures Manual, PSCINST M1000.2(series)), Type BON-2, as follows:**

> **"[*Date*]: I have been advised I am eligible for a Level ___ Selected Reserve (SELRES) Enlistment Bonus in the amount of $_____ for assignment to the following rating or unit: _____. My bonus will be computed based on six years (72 months) of obligated SELRES service.**
>
> **I hereby acknowledge that I have read and fully understand the contents and explanation of Chapter 3.E, Personnel Manual, COMDTINST M1000.6(series). I have also been counseled on the opportunity to contribute my SEBP payment to the Thrift Savings Plan."**

**3. Amount and payment method. The recruiting office shall determine the amount of the bonus paid, not to exceed limits set by Commandant (CG-131). The bonus will be paid in an initial payment of one-half of the total bonus amount upon completion of IADT. Members must submit a written request to PSC (mas) via their chain of command for the remainder of the bonus amount one year after receipt of the initial payment. Completion of IADT is defined as:**

| Accession Program | IADT Completion |
|---|---|
| RX | Completion of Reserve Enlisted Basic Indoctrination (REBI) |
| RP and RK | Completion of eight-week basic training and "A" School |

**4. Application.**

**a. <u>Recruiting Office</u>. Prepare or review completed enlisted application, Enlistment/Reenlistment Document (DD Form 4), to include a completed Statement of Understanding (SOU); Record of Military Processing (DD Form 1966); and Administrative Remarks (CG-3307). Obtain assignment to a SELRES position from the servicing ISC (pf) and forward aforementioned documents to Training Center Cape May**

**Recruit SPO for enlistees under the RP and RK programs, and to the assigned unit's servicing SPO for enlistees under the RX program.**

**b. SPO. Report the enlistment and position assignment to the personnel and pay system and fax the following documents to PSC (mas): Administrative Remarks (CG-3307), and Statement of Understanding (SOU) for Coast Guard Reserve [RX/RP/RK] Program.**

**c. PSC (mas). Upon receipt of the Administrative Remarks (CG-3307) and SOU, verify completion of IADT, and make the initial bonus payment. The single subsequent payment is made upon member's request, at least one year from the completion date of IADT.**

## 3.E.7 Prior Service Enlistment Bonus Program

**1. 37 U.S.C. 308i authorizes a bonus for eligible prior service personnel who enlist in the SELRES in ratings or units designated most critical (Level I) or critical (Level II).**

**2. Eligibility. To be eligible to receive a SELRES prior service enlistment bonus a person must enlist in the Coast Guard Reserve via the RQ accession program, and:**

**a. must enlist for three to five years in the SELRES to qualify for the three-year bonus or six to eight years in the SELRES to qualify for the six-year bonus;**

**b. must have less than 14 years total prior service on the date of enlistment, and members must have received an honorable discharge at or after conclusion of the eight-year MSO (total prior service at the date of enlistment is the total active and inactive service, regardless of branch, computed from Pay Base Date; inactive service covers all periods of inactive duty served under a qualifying enlistment);**

**c. must not have previously received a six-year bonus or more than one three-year bonus for enlistment, reenlistment, or extension in any Reserve component (a member who received a bonus for a previous three-year period is ineligible for a six-year bonus);**

**d. must hold a bonus-eligible rating or be assigned to a bonus-eligible unit at the time of enlistment, and must agree to serve in the SELRES in the same rating or unit for which the bonus was authorized unless authorized to change to another bonus-eligible rating or unit; and**

**e. must execute a written agreement (see Enclosure (6) of Personnel and Pay Procedures Manual, PSCINST M1000.2 (series)), as follows:**

**"[*Date*]: I have been advised I am eligible for a Level ___ Selected Reserve (SELRES) Prior Service Enlistment Bonus in the amount of $_____ for assignment to the following rating or unit: _____. I am eligible to enlist for up to a maximum of _____ years. My bonus will be computed based on _____ months of obligated SELRES service.**

**I hereby acknowledge that I have read and fully understand the contents and explanation of Chapter 3.E, Personnel Manual, COMDTINST M1000.6(series). I have also been counseled on the opportunity to contribute my SEBP payment to the Thrift Savings Plan."**

**<u>Note</u>: Payment of the prior service enlistment bonus is prohibited unless the rating associated with the position the member will occupy correlates to a rating or military occupational specialty in which the member successfully served during his or her previous military service.**

**f. Members who have not completed the eight-year MSO may enlist up to 90 days prior to their normal expiration of enlistment. In cases of early enlistment, the term of the new contract will begin on the date of enlistment.**

**3. Amount and payment method. The recruiting office shall determine the amount of the bonus paid, not to exceed limits set by Commandant (CG-131). The bonus will be paid in an initial payment of one-half of the total bonus amount. Members must submit a written request to PSC (mas) via their chain of command for the remainder of the bonus amount one year after the date of the initial payment.**

**4. Application.**

**a. <u>Recruiting Office</u>. Prepare or review completed enlisted application, Report of Separation from Active Duty (DD Form 214); Enlistment/Reenlistment Document (DD Form 4), to include a completed Statement of Understanding (SOU); Record of Military Processing (DD Form 1966); and Administrative Remarks (CG-3307). Verify members have completed their eight-year MSO and have less than 14 total years prior service, and obtain assignment to a SELRES position from the servicing ISC (pf). Forward the aforementioned documents to the servicing SPO.**

**b. <u>SPO</u>. Report the enlistment and position assignment to the personnel and pay system and fax the following documents to PSC (mas): Administrative Remarks (CG-3307), and Statement of Understanding (SOU) for Coast Guard Reserve RQ Program.**

**c. <u>PSC (mas)</u>. Upon receipt of the Administrative Remarks (CG-3307) and SOU, and at such time as the enlistment documents are processed by the pay system, make the initial bonus payment. The single subsequent payment is made upon member's written request one year after the initial payment is made.**

## 3.E.8 Reenlistment/Extension Bonus Program

**1. 37 U.S.C. 308b authorizes a bonus for eligible personnel who reenlist or extend in the SELRES in ratings or units designated most critical (Level I) and critical (Level II).**

**2. Eligibility. To be eligible to receive a bonus for SELRES reenlistment or extension, a person:**

**a. must be in pay grades E-4 through E-9 or be designated E-3 strikers (members authorized to pursue a lateral change in rating and assigned a training rating indicator are ineligible for SEBP incentives until the lateral change is complete, the time authorized for change expires, or the authorization to prepare for a change in rating is withdrawn);**

**b. must reenlist or extend for three to five years in the SELRES to qualify for the three-year bonus or six to eight years in the SELRES to qualify for the six-year bonus;**

**c. must have less than 14 years total Length of Service (LOS) at the time of reenlistment or extension (LOS is the total active and inactive service, regardless of branch computed from Pay Base Date);**

**d. must not have previously received a six-year bonus or more than one three-year bonus for enlistment, reenlistment, or extension in any Reserve component (a member who received a bonus for a previous three-year period is ineligible for a six-year bonus; to receive a second three-year bonus a member must enter into the subsequent reenlistment or extension for three years, not later than the date on which the enlistment or extension for which the first bonus was paid would expire, and the designated rating or unit must still be bonus-eligible);**

**e. must hold a bonus-eligible rating or be assigned to a bonus-eligible unit at the time of reenlistment or extension, and must agree to serve in the SELRES in the same rating or unit for which the bonus was authorized unless authorized to change to another bonus-eligible rating or unit; and**

**f. must execute a written agreement (see Enclosure (6) of Personnel and Pay Procedures Manual, PSCINST M1000.2(series) , Type BON-1 as follows:**

> **"[*Date*]: I have been advised I am eligible for a Level ___ Selected Reserve (SELRES) Reenlistment/Extension Bonus in the amount of $_____ for assignment to the following rating or unit: _____. I am eligible to enlist for up to a maximum of _____ years. My bonus will be computed based on _____ months of obligated SELRES service.**
>
> **I hereby acknowledge that I have read and fully understand the contents and explanation of Chapter 3.E, Personnel Manual, COMDTINST M1000.6(series). I have also been counseled on the opportunity to contribute my SEBP payment to the Thrift Savings Plan."**

**g. Members who have not completed the eight-year MSO may enlist up to 90 days prior to their normal expiration of enlistment (EOE). In cases of early reenlistment, the term of the new contract will begin on the date of reenlistment or extension.**

**3. Amounts and payment method. Reenlistment bonus amounts, if authorized, will be published in conjunction with active duty reenlistment bonus authorizations via ALCOAST. The bonus will be paid in an initial payment of one-half of the total bonus amount. Members must submit a written request to PSC (mas) via their chain of command for the remainder of the bonus amount one year after the date of the initial payment.**

**4. Application.**

**a. <u>Unit Commanding Officers</u>. Prepare or review completed enlistment or reenlistment documents or Agreement to Extend Enlistment (CG-3301B), and the appropriate Administrative Remarks (CG-3307). Verify assignment to a bonus-eligible SELRES assignment and distribute aforementioned documents accordingly.**

**b. <u>SPO</u>. Report the enlistment/reenlistment or extension to the pay system and fax the Administrative Remarks (CG-3307) to PSC (mas).**

**c. <u>PSC (mas)</u>. Upon receipt of the Administrative Remarks (CG-3307), and at such time as the enlistment/reenlistment or extension documents are processed by the pay system, make the initial bonus payment. The**

**single subsequent payment is made upon member's request, one year after the enlistment/reenlistment or extension date.**

## 3.E.9 Subsequent Payments

**Members shall submit a written request for the subsequent SEBP payments described above in a memorandum to the Personnel Service Center in the following format:**

**From:** ***Member, EMPLID***

**To:** **CG PSC (mas)**
**Thru:** **(1)** ***Member's Commanding Officer***
**(2)** ***Servicing ISC (pf)***

**Subj:** **REQUEST FOR SEBP PAYMENT**

**Ref:** **(a) Personnel Manual, COMDTINST M1000.6A, Ch 3.E**

**1. In accordance with reference (a), I request the second installment of my [*insert bonus type*] bonus. I am satisfactorily participating in the SELRES and am not otherwise disqualified for this bonus payment.**

## 3.E.10 Special Conditions

**1. Relief from termination.**

**a. Reservists who move from one location to another are entitled to continue receiving bonus payments provided they remain in the SELRES and are assigned to a bonus-eligible rating or unit, as appropriate. However, a member who fails to join an eligible unit or be assigned to a qualifying SELRES assignment within six months will be terminated from program eligibility. In the case of a member who is assigned to a bonus-eligible position within six months, the period between assignments must be added to the member's original bonus obligation.**

**b. An SEBP participant whose rating is changed at the convenience of the government or whose bonus-eligible unit is deactivated, relocated, reorganized, or converted is entitled to continue receiving bonus payments provided he or she continues to be otherwise eligible and is not separated from the SELRES.**

**c. An SEBP participant involuntarily recalled to active duty is entitled to continue receiving bonus payments provided he or she continues to otherwise be eligible.**

**d. A member who voluntarily ends training or serving in his or her bonus eligible rating may request Commander (CGPC-rpm) approve continued bonus entitlement. However, SEBP participants authorized to pursue a lateral change in rating to a non-bonus eligible rating shall not continue bonus entitlement.**

**e. SEBP bonuses shall not be recouped from a member involuntarily separated for homosexual conduct unless an administrative board (or, where the right to a board is waived, by the separation authority) makes a specific written finding that, during the current term of service, the member engaged in homosexual conduct.**

**2. Non-availability. Members of the Ready Reserve may be authorized a period of non-availability, not to exceed two years, due to temporary physical disqualification, extreme personal or community hardship, designation as key employees, or other qualifying reason (see Reserve Policy Manual, COMDTINST M1001.28 (series), chapter 5.B.3). These members are temporarily transferred to the Active Status List (ASL), Standby Reserve.**

**a. SEBP participants shall have their bonuses suspended and are ineligible to receive further incentive payments during a period of non-availability. Following a period of non-availability and return to the rating or unit for which the bonus was authorized, members may receive their total bonus entitlement if they extend their original term of service in the SELRES to serve the full contract period. Entitlement to subsequent payments shall resume on the adjusted anniversary date of satisfactory service. The anniversary date shall be adjusted for the period of non-availability. Failure to meet reinstatement criteria shall result in termination and recoupment of the SEBP.**

**3. Authorized absence from scheduled Inactive Duty Training (IDT) does not jeopardize bonus entitlement, except to the extent members fail to attend the minimum number of IDT drills. See requirements in the Reserve Policy Manual, COMDTINST M1001.28(series), chapters 2.B.3 for authorized absence and 4.A.2 for satisfactory SELRES participation.**

## 3.E.11 Termination

**1. When entitlement to an incentive is terminated, members shall receive no further bonus payments, except for service performed before the termination date. Unless otherwise noted, the effective date of termination is the date the disqualifying event or action occurs. For the reasons below, the Government will recoup a prorated amount of bonus paid, unless granted relief authorized in paragraph 3.E.10.**

**a. Unsatisfactory participation in the SELRES during the entire period of service, according to the written agreement, as defined in the Reserve Policy Manual, COMDTINST M1001.28 (series), Chapter 4.A. The**

**effective date of termination is the date PSC (mas) is notified by the responsible Integrated Support Command that a SEBP recipient is an unsatisfactory participant.**

**b. Separation or termination from the SELRES for any reason, other than reduction in force, death, injury, illness, or other impairment not due to own misconduct. Separation or termination includes, but is not limited to:**

**(1) active duty enlistment,**

**(2) acceptance of an extended active duty contract,**

**(3) return to active duty under the temporary separation policy,**

**(4) transfer to the IRR, unless the transfer is effected after completion of the SELRES obligation for which the bonus was paid, and**

**(5) the result of action directed by higher authority.**

**c. Voluntary transfer to a non-bonus eligible unit. If a member is transferred due to advancement, bonus termination and recoupment will not be initiated if the member has served at least one-half of the service obligation.**

**d. Failure to extend the contracted term of service or meet reinstatement criteria following a period of non-availability.**

**e. Acceptance of appointment as a commissioned officer or commissioned warrant officer in the Coast Guard Reserve if the member has served less than one year since the initial payment date.**

**2. Termination from an incentive or any refund made by an SEBP participant shall not annul any period of Reserve service obligation.**

## 3.E.12 Calculation of Recoupment

**1. PSC (mas) determines overpayment or payment owed by subtracting a member's earned bonus from the total bonus paid to date (initial and subsequent payments). If the total bonus amount paid is greater than the earned bonus, the Government shall recoup that overpayment. If the total bonus amount paid is less than the earned bonus, the amount owed shall be paid to the member in the final installment.**

**2. A member's earned bonus is calculated on a total monthly and daily rate. The monthly rate is calculated by dividing the total bonus authorized by the number of months of obligated service; divide the monthly rate by 30 to determine the daily rate.**

**EXAMPLE: a member enlisted in the Coast Guard Reserve on 23 March 1999 for six years and was authorized a $5,000 bonus. She agreed to serve at a Naval Coastal Warfare Unit. The member received an initial payment of $2,500 and a single subsequent payment of $2,500 on 23 March 2000. The member was discharged on 1 September 2001 due to unsatisfactory participation.**

**Bonus monthly rate is $69.45 ($5,000 ÷ 72 months)**
**Bonus daily rate is $2.32 ($69.45 ÷ 30 days)**

**First, calculate member's earned bonus:**

| | |
|---|---|
| 01 08 30 | (day prior to discharge date) |
| 99 03 23 | (enlistment date/bonus eligibility date) |
| 02 05 07 | |
| + 1 | (inclusive day) |
| 02 05 08 | (length of satisfactory service for bonus) |

| | | | |
|---|---|---|---|
| 29 mos × $69.45 | (monthly rate) | = | $2,014.05 |
| 8 days × $2.32 | (daily rate) | = | + $18.56 |
| | | | $2,032.61 (earned bonus) |

**Next, calculate overpayment or payment owed by subtracting earned bonus from the total bonus paid to date (initial and subsequent payments):**

| | |
|---|---|
| $5,000.00 | (bonus paid) |
| - $2,032.61 | (earned bonus) |
| $2,967.39 | (overpayment to be recouped) |

**EXAMPLE: a Coast Guard ET2 is released from active duty and affiliates with the Coast Guard Reserve on 14 January 2002. The member agreed to serve in the SELRES for 26 months and was authorized a $1,300 bonus. He received an initial lump sum payment of $650 on 14 January 2002. On 7 November 2003 the member commenced voluntary Extended Active Duty.**

**Bonus monthly rate is $50 ($1,300 ÷ 26 months)**
**Bonus daily rate is $1.66 ($50 ÷ 30 days)**

**First, calculate member's earned bonus:**

| | |
|---|---|
| 03 11 06 | (day before EAD commenced) |
| 02 01 14 | (SELRES affiliation date/bonus eligibility date) |
| 01 09 22 | |
| + 1 | (inclusive day) |
| 01 09 23 | (length of satisfactory service for bonus) |

| | | |
|---|---|---|
| **21 mos × $50 (monthly rate)** | **=** | **$1,050.00** |
| **23 days × $1.66 (daily rate)** | **=** | **+ $38.18** |
| | | **$1,088.18 (earned bonus)** |

**Next, calculate overpayment or payment owed by subtracting earned bonus from the total bonus paid to date (initial and subsequent payments):**

| | |
|---|---|
| **$650.00** | **(bonus paid)** |
| **$1,088.18** | **(earned bonus)** |
| **-$438.18** | **(earned bonus owed member)** |

## Contents

*3.F. Critical Skills Training Bonus* ____ *2*

**3.F.1. General** ____ **2**

**3.F.2. Glossary of Terms** ____ **2**

**3.F.3. Policy** ____ **2**

**3.F.4. Eligibility Criteria** ____ **2**

**3.F.5. Loss of Eligibility and Recoupment** ____ **3**

**3.F.6. Payment Procedures** ____ **4**

**3.F.7. Responsibilities** ____ **4**

**3.F.8. Forms/Reports** ____ **6**

# 3.F. Critical Skills Training Bonus (CSTB) Program

## 3.F.1. General

**The Critical Skills Training Bonus (CSTB) program is an incentive to attract qualified personnel to critical skills or ratings. This program applies to all non-rated field personnel. The CSTB is authorized under Title 14 U.S.C., Section 374. The combination of payments under the Enlistment Bonus (EB) and CSTB programs may not exceed $20,000, by law.**

## 3.F.2. Glossary of Terms

1. **Active Duty Service Commitment (ADSC). The ADSC is the number of years or fraction of years a member agrees to obligate service in order to earn a CSTB entitlement.**

2. **Critical rating. A rating that is understaffed, is projected to be understaffed in the future, or requires an inordinate amount of training to achieve rating strength. The shortages are the result of the Service's inability to attract and retain personnel in the rating.**

3. **Obligated Service. All periods of military service covered by a signed agreement in the form of an enlistment contract or an extension agreement between a Coast Guard member and the U. S. Coast Guard, in which the member agrees to serve for a designated period of time.**

4. **Unearned Bonus. A portion of the CSTB already paid to a member who subsequently does not complete the service obligation.**

## 3.F.3. Policy

1. **As needs of the Service dictate, Commandant (CG-122) will convene a panel to determine which critical ratings are designated eligible for a CSTB. The results of this panel's deliberations will be announced to the field via ALCOAST.**

2. **These bonuses are linked to a member's affiliation with a critical rating by graduating from Class "A" school or advancing to E-4 through a striker program in that rating. This program is not a substitute for a Selected Reenlistment Bonus (SRB).**

## 3.F.4. Eligibility Criteria

1. **To qualify for the CSTB Program, members must:**

   a. **Graduate from Class "A" school or advance to E-4 through a striker program.**

**b. Agree to obligate service to meet the minimum ADSC in effect.**

**2. Prior to departing their permanent unit, members who will be attending Class "A" school must complete and sign a CSTB Agreement (Exhibit 3.E.1.). The original shall be placed in the member's PDR and a copy given to the member. This document is proof of enrollment in the CSTB Program and will be used by the Training Center Servicing Personnel Office (SPO) to initiate bonus payment procedures upon graduation.**

**3. Members who will earn a CSTB through a striker program must complete and sign a CSTB Agreement (Exhibit 3.E.1.) prior to beginning the program. The original shall be placed in the member's PDR and a copy given to the member. Once a member is recommended for advancement under the striker program and placed on a striker eligibility list, in accordance with Article 5.E., PSC (mas) should be notified and a copy of the CSTB Agreement form faxed to them.**

## 3.F.5. Loss of Eligibility and Recoupment

**1. Paid bonuses will not be recouped from members who are no longer eligible to serve in the rating for which the bonus was paid due to unforeseen Service actions (e.g., disestablishment of the rating).**

**2. All paid but unearned bonuses may be recouped. A member will be considered not technically qualified to receive the bonus if:**

**a. The member no longer serves in the rating for which the bonus was authorized.**

**b. The member's rating designator is removed.**

**c. Current and future assignment in that specialty is precluded.**

**3. Unearned bonuses shall also be recouped if:**

**a. The member is unable to perform the duties of the rating for which the bonus was paid due to injuries caused by misconduct.**

**b. The member is unable to perform the duties of the rating for which the bonus was paid as a result of a loss of security clearance due to fault.**

**c. The member refuses to perform the duties of the rating for which the bonus was paid.**

**4. Members who are discharged or change ratings prior to completing the period of service for which they were paid a CSTB shall have all unearned bonus payments recouped, except when:**

**a. Involuntarily discharged for Convenience of the Government in connection with a reduction in force.**

**b. Separated or retired for physical disability, illness, injury, or other impairment incurred in the line of duty and not due to misconduct.**

**c. Discharged due to dependency or hardship.**

**d. Discharged early for the purpose of immediate reenlistment, provided they reenlist in the eligible rating and the reenlistment term is for a period longer than the obligated service remaining in the period for which the CSTB was paid.**

**e. Required to change ratings based on the needs of the Service.**

**5. Personnel unable to perform duties that require a security clearance or who are assigned to a general petty officer billet due to humanitarian reassignment, loss of security clearance due to no fault, injury, or illness through no fault of their own, will be entitled to their full bonus.**

**6. Personnel placed on weight probation in accordance with Weight/Physical Fitness Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series), shall have payment of the CSTB held in abeyance until they comply with weight standards.**

**7. When a member is no longer eligible for the CSTB, PSC (mas) will recoup the unearned bonus portion based on the effective date documented by the member's command.**

## 3.F.6. Payment Procedures

**The CSTB will be paid as follows:**

**The bonus will be paid in lump sum upon successful completion of Class "A" school.**

**The bonus will be paid in lump sum to members who advance to E-4 upon successful completion of a striker program.**

## 3.F.7. Responsibilities

**1. Commandant (CG-122) shall:**

**a. Oversee the CSTB Program, policy, and resources.**

**b. Promulgate and maintain a list of selected critical ratings eligible for the bonuses.**

**c. As Service needs require, convene a panel to consider the number of CSTB quotas that are necessary to fill critical needs along with associated bonus amounts. Based on Service needs, Commandant (CG-1221) may make periodic adjustments throughout the year to the recommended quota allocations and bonus amounts.**

**2. Commandant (CG-12A) shall review the list of ratings designated as critical for the purposes of this program and recommend which ratings should be considered by the CSTB panel for addition to or deletion from the CSTB Program.**

**3. Commanding Officer, Personnel Service Center (mas) shall establish and maintain a system for paying and recouping bonuses. The payment and recoupment procedures are available to read in the on-line guide for Direct Access.**

## 3.F.8.Forms/Reports

**Exhibit 3.F.1.**

**CRITICAL SKILLS TRAINING BONUS (CSTB) AGREEMENT**

1. Under Title 14 U.S.C., Section 374, and in consideration of receiving a CSTB in accordance with ALCOAST _____. (Complete with the information contained in the most recent ALCOAST).

I, _____(Rank/Name) agree to remain on active duty for ____ years upon the completion of _____ training.

2. Conditions of agreement. I understand and agree that:

a. The effective date of this agreement will be _____.

b. I will receive a lump sum CSTB payment in the following amount: _____.

c. I must receive a designator or advance to third class petty officer.

d. If I am approved for a lateral to another rating, I understand that I will be required to repay any unearned portion of the CSTB IAW PERSMAN Article 3.E.5., paragraphs 2 and 3.

e. Any unearned portion of CSTB paid me is considered a debt to the U. S. Government and will be recouped if my CSTB entitlement ends because:

(1) I lose my designation due to misconduct or willful neglect.
(2) I am discharged for cause.
(3) I am separated before completing the active duty service commitment (ADSC).

f. Per Title 37 U.S.C., Section 323(g), a discharge in bankruptcy under Title 11 that is entered less than 5 years after the termination of this agreement does not discharge me from a debt arising under this agreement. Thus, the U. S. Government may recoup any unearned CSTB. If my CSTB entitlement stops for any other reason, the U. S. Government will not recoup previous payments. For example, money will not be recouped based on a reduction in force (RIF).

| Accept/Decline | Approved/Disapproved |
|---|---|
| _____ | _____ |
| Member's signature | Commanding Officer's signature |
| _____ | _____ |
| Date signed | Date signed |

Privacy act statement
Authority: Title 14 U.S.C., Section 374
Purpose: to provide information necessary for the approval authority to determine if applicant meets all requirements for the award of CSTB, then for the processing authority to initiate payment procedures. Use of SSN may be necessary to make positive identification of individual records. Disclosure is voluntary: if the applicant does not provide the information, however, no further action can be taken on the request and all further processing terminates.

## *CONTENTS*


### *4.A. ASSIGNMENT POLICIES FOR ALL MEMBERS*

4.A.1. General
4.A.2. Order Issuing Authority
4.A.3. Transfer Orders
4.A.4. Using Abbreviations in Messages about Transferring Coast Guard Members
4.A.5. Tour Lengths
4.A.6. Members' Availability for Unrestricted Assignments
4.A.7. Women's Duty Assignments and Rotations
4.A.8. Policy on Assigning Married Couples
4.A.9. Administrative Assignments
4.A.10. Transferring Patients Between Hospitals
4.A.11. Returning Patients from Overseas Duty
4.A.12. Transferring Members at Time of Sailing
4.A.13. Health Services Personnel and Drug Abuse
4.A.14. Logistics and/or Financial Support Members' Fiscal Improprieties
4.A.15. Sponsor Services
4.A.16. Dislocation Allowance
4.A.17. Attending Technical, Professional, Scientific, and Other Similar Organizations' Meetings
4.A.18. NATO Supplemental Orders
4.A.19. Sole Survivors
**4.A.20. Social Climate Considerations**

### *4.B. ASSIGNMENT POLICIES FOR ALL ENLISTED MEMBERS*

4.B.1. General
4.B.2. Advance Notice of Transfer
4.B.3. Geographic Stability
4.B.4. Assignment priority
4.B.5. Sea and Shore Duty
4.B.6. Obligated Service for Assignment
4.B.7. Recalling and Assigning Retired and Reserve Members to Extended Active Duty Other Than Active Duty For Training (ADT)
4.B.8. Restoring to Duty and Assigning Personnel Released from Correctional Centers
4.B.9. Using Enlisted Personnel in Messes
4.B.10. Mutual Exchange of Station and Unilateral Transfers
4.B.11. Humanitarian Assignments

### *4.C. ASSIGNMENT PROCESS FOR RATED AND DESIGNATED MEMBERS*

4.C.1. Overview
4.C.2. Communicating with Assignment Officers
4.C.3. Assignment Policy on Advancement
4.C.4. Assignment of Strikers and "A" School Graduates and Disenrollees
4.C.5. Duties of Medical Personnel and Geneva Convention
4.C.6. Assignment as Officer-in-Charge
4.C.7. Assignment as Engineering Petty Officer
4.C.8. Assignment as Executive Petty Officer
4.C.9. Assignment to Vessel Traffic Service (VTS) Duty
4.C.10. Assignment to National Strike Force
4.C.11. Assignment to Icebreaker Duty

**4.C.12. Assignment to Law Enforcement Detachment (LEDET) Duty**
**4.C.13. Assignment to Food Service Assistance and Training (FSAT) Positions**

***4.D. ASSIGNMENT POLICIES FOR NONRATED MEMBERS***
4.D.1. General
4.D.2. Recruit Assignment Policy
4.D.3. Non-Rated Tours of Duty
4.D.4. Communications Between Non-rated Members and Assignment Officers

***4.E. ASSIGNMENT POLICIES FOR SPECIAL DUTY BILLETS***
4.E.1. General Policy
4.E.2. Qualifications
4.E.3. Rating Assignment Officer Reviews Application
4.E.4. Reassigning Members Unsuited for Special Duty
4.E.5. Special Evaluation Resulting from Reassigning Members Unsuited for Special Duty
4.E.6. Instructor Duty
4.E.7. Recruiting Duty
4.E.8. Recruit Regimental Duty (Including Company Commander)
4.E.9. Special Agent
4.E.10. Intelligence Duties
4.E.11. Ceremonial Honor Guard
4.E.12. Command Master Chief
4.E.13. Collateral Duty Command Master Chief
4.E.14. Drug and Alcohol Abuse Representative
4.E.15. Alcoholism Treatment Specialist and Drug And Alcohol Abuse Counselor Duty
4.E.16. Military Entrance Processing Station
4.E.17. Military Civil Rights Counselor/Facilitator Duty
4.E.18. Standard Boat Standardization Team (STANTEAM) Duty
4.E.19. Surfman Instructor Duty, National Motor Lifeboat School
4.E.20. USCGC Barque EAGLE Non-Rate Assignments
4.E.21. Rating Force Master Chief
4.E.22. Master Chief Petty Officer of the Coast Guard

***4.F. RELIEF FOR CAUSE OF COMMANDING OFFICER AND OFFICER-IN-CHARGE***
4.F.1. General
4.F.2. Authority for Relief for Cause
4.F.3. Basis for Relief
4.F.4. Procedures to Effect Relief for Cause
4.F.5. Documentation Accompanying Permanent RFC Request
4.F.6. Miscellaneous

***4.G. TRAVEL ORDERS; PROCEED AND TRAVEL TIME***
4.G.1. General Information
4.G.2. Types of Travel
4.G.3. Officers Authorized to Issue and Approve Travel Orders
4.G.4. Signing Travel Orders
4.G.5. Action on Receiving Orders Indicating Detachment Without a Specific Date
4.G.6. through 4.G.9. **VACANT**
4.G.10. Proceed Time
4.G.11. Determining Modes of Transportation

4.G.12. Circuitous Travel
4.G.13. Travel Time During Execution of Orders
4.G.14. Travel Time for Coast Guard Reserve Members
4.G.15. Delay En Route During Execution of Orders
4.G.16. through 4.G.19. **VACANT**
4.G.20. Military Travel Orders

***4.H. OVERSEAS DUTY AND MOVING DEPENDENTS AND HOUSEHOLD GOODS OUTSIDE CONUS***

4.H.1 General
4.H.2. Determining Members' and Dependents' Suitability for Overseas Duty
4.H.3. Suitability Decision Factors
4.H.4. Additional Procedures
4.H.5. Members'/Dependents Early Return From Overseas
4.H.6. Selecting Enlisted Members for Duty OCONUS
4.H.7. Preparing Members for Duty OCONUS
4.H.8. Tours of Duty OCONUS
4.H.9. Moving Dependents and Household Goods OCONUS
4.H.10. Monetary Allowances

*4.A. ASSIGNMENT POLICIES FOR ALL MEMBERS* ____ *3*

**4.A.1. GENERAL** ____ **3**
4.A.1.a. Objective ____ 3
4.A.1.b. Distributing Personnel ____ 3

**4.A.2. ORDER ISSUING AUTHORITY** ____ **4**

**4.A.3. TRANSFER ORDERS** ____ **5**
4.A.3.a. General ____ 5
4.A.3.b. Transfer Orders Issued By Coast Guard Personnel Command ____ 5
4.A.3.c. Action On Receiving Transfer Orders ____ 5
4.A.3.d. Signatures ____ 5

**4.A.4. USING ABBREVIATIONS IN MESSAGES ABOUT TRANSFERRING COAST GUARD MEMBERS** ____ **6**

**4.A.5. TOUR LENGTHS** ____ **6**
4.A.5.a. Officers ____ 6
4.A.5.b. Enlisted Personnel ____ 8

**4.A.6. MEMBERS' AVAILABILITY FOR UNRESTRICTED ASSIGNMENTS** ____ **14**
4.A.6.a. Commandant's Policy ____ 14
4.A.6.b. Caring For Dependents ____ 14
4.A.6.c. Fair Implementation ____ 14
4.A.6.d. Command Expectations ____ 15
4.A.6.e. Enlisted Members Unavailable For Short Term ____ 15
4.A.6.f. Officers Unavailable For Full Duty ____ 15
4.A.6.g. Annual Certification ____ 15
4.A.6.h. Members Who are Human Immunodeficiency Virus (HIV) Antibody Positive ____ 15

**4.A.7. WOMEN'S DUTY ASSIGNMENTS AND ROTATIONS** ____ **16**
4.A.7.a. Policy ____ 16
4.A.7.b. Assignments While Pregnant ____ 16
4.A.7.c. Tour Lengths ____ 18

**4.A.8. POLICY ON ASSIGNING MARRIED COUPLES** ____ **18**
4.A.8.a. General ____ 18
4.A.8.b. Reassignment ____ 18
4.A.8.c. Types Of Units To Which Assigned ____ 18
4.A.8.d. Simultaneous Shipboard Duty ____ 18
4.A.8.e. Collocation With Other Armed Services' Members ____ 19
4.A.8.f. Overseas Duty ____ 19
4.A.8.g. Service Needs ____ 19

**4.A.9. ADMINISTRATIVE ASSIGNMENTS** ____ **19**
4.A.9.a. Purpose ____ 19
4.A.9.b. Procedures For Transferring And Receiving Commands ____ 20
4.A.9.c. Members Under Orders To A Certain Assignment ____ 21

**4.A.10. TRANSFERRING PATIENTS BETWEEN HOSPITALS** ____ **21**
4.A.10.a. Transfer To Uniformed Services Medical Treatment Facilities (USMTF) ____ 21
4.A.10.b. Transfer By USAF Aeromedical Evacuation ____ 21
4.A.10.c. Transfer After Emergency Admission ____ 21
4.A.10.d. Transfer For Required Care ____ 22
4.A.10.e. Transferring Patients Suffering Mental Diseases ____ 22

**4.A.11. RETURNING PATIENTS FROM OVERSEAS DUTY 22**
4.A.11.a. Information Provided 22
4.A.11.b. Issuing Orders 22
4.A.11.c. Casualty Report 22

**4.A.12. TRANSFERRING MEMBERS AT TIME OF SAILING 23**
4.A.12.a. Personnel Absent At Sailing 23
4.A.12.b. Members In Receipt Of Orders 23
4.A.12.c. Preparing Endorsements 23

**4.A.13. HEALTH SERVICES PERSONNEL AND DRUG ABUSE 23**

**4.A.14. LOGISTICS AND/OR FINANCIAL SUPPORT MEMBERS' FISCAL IMPROPRIETIES 24**

**4.A.15. SPONSOR SERVICES 25**
4.A.15.a. General 25
4.A.15.b. Procedures 25

**4.A.16. DISLOCATION ALLOWANCE 27**
4.A.16.a. Definition 27
4.A.16.b. Secretary Of Homeland Security Finding (SECDHSFIND) 28

**4.A.17. ATTENDING TECHNICAL, PROFESSIONAL, SCIENTIFIC, AND OTHER SIMILAR ORGANIZATIONS' MEETINGS 29**
4.A.17.a. General 29
4.A.17.b. Policy 29
4.A.17.c. Attendance Criteria 29
4.A.17.d. Meetings Of Federal Agencies Or Under Their Auspices 30
4.A.17.e. Meetings Under Non-Federal Auspices 30

**4.A.18. NATO SUPPLEMENTAL ORDERS 31**
4.A.18.a. Agreement 31
4.A.18.b. Scope 31
4.A.18.c. Issue 32
4.A.18.d. Official Documents 32
4.A.18.e. Exemption From Civil Regulations 32
4.A.18.f. Languages Used On The Form 32
4.A.18.g. Completing The Form 32

**4.A.19. SOLE SURVIVORS 33**
4.A.19.a. General 33
4.A.19.b. Assignments 33
4.A.19.c. Once Qualified 33
4.A.19.d. Cases Not Covered 33

**4.A.20. SOCIAL CLIMATE CONSIDERATIONS 34**
**4.A.20.a. General 34**
**4.A.20.b. Assessing Social Climate Considerations 34**
**4.A.20.c. Assignment to Locations with Social Climate Concerns 35**
**4.A.20.d. Social Climate Transfer 35**

| c. **Headquarters, Area, MLC, and District**: | |
|---|---|
| Three-year tours | CO, XO, and OPS; VTS duty; ICC; TACLET; ITD; Training Teams; Non-PHS O-1s and above at Groups; CG Academy Cadet Branch Chief and Company Officers; OCS Staff; CGPC Division Chiefs; CGPC-opm staff; CGPC-epm Branch Chief; Assignment Officers, and CAC Coordinators; O-2s, and OPBAT. |
| Two-year tours | CG Academy Assistant Superintendent |
| 18-month tours | First tour OCS O-1s and O-2s in staff jobs to rotate to an operational unit, as desired, during the normal summer rotation period. |

| d. **Headquarters, Area, MLC, and District staffs:** | |
|---|---|
| Three-year tours | G-CPA staff; G-CC staff; Chief Trial Judge (G-L-4); and Chief, G-CBU-2, O-2s (unless on post graduate/advanced training payback when it will be a four-year tour). |
| Two-year tours | Area or district Chiefs of Staff, and Area or district Chiefs of Operations; MLC Deputy Commanders; Ethnic and Gender Policy Adviser, Executive Assistants to G-C, G-M, G-O, G-S, G-W; G-CC, G-CP, G-CQ, G-CX, G-CPA, G-CBU, G-MO, G-OP, G-OC, G-SL, G-SC, G-SE, G-H, and G-WR; Deputies to G-CCS, G-CI, G-A, G-H, G-WK, and G-WT. |
| 18-month tours | First tour OCS O-1s and O-2s to rotate to an operational unit, as desired, during the normal summer rotation period. |

e. **Medical**. Five-year tours: PHS CONUS clinical.

3. Duty outside a Coast Guard unit or staff (except as previously noted): Two years except:

| | |
|---|---|
| 5 years | Astronaut program. |
| 4 years | CG Motion Picture and TV Liaison. |
| 3 years | Navy Flight School instructor; CG Liaison Officer - White House Communications Agency; CG Liaison Officer - Office of Secretary of Transportation (M-30). |
| 2 years | Congressional Detailees or Fellows |
| DUINS | As noted in transfer orders. |

4. Involuntary extension of tour lengths. Assignment tour lengths may be involuntarily extended if dictated by the needs of the Service. This policy applies only to those members who are currently serving INCONUS ashore and are candidates for another INCONUS ashore assignment. Commander (CGPC-opm) is the approval authority for officers.

5. Unless assigned to a corresponding CONUS billet as listed above, the following tour lengths (in years) apply:

**OCONUS ASHORE TOUR LENGTHS FOR OFFICERS**

| LOCATION | WITH DEPENDENTS | WITHOUT DEPENDENTS (1) |
|---|---|---|
| Alaska (Anchorage and Juneau) | 4 | 4 |
| Kenai | 3 | 3 |
| Sitka and Kodiak (non-ALPAT) | 3 | 2 |
| Kodiak (HH65 ALPAT) | 2 | 2 |
| All other locations | 3 | 3 |
| Bahamas | 3 | 3 |
| Guam | **3** | **3** |
| Hawaii | | |
| Oahu | 4 | 4 |
| All other locations | 3 | 3 |
| Puerto Rico | 3 | 2 |
| Virgin Islands | 2 | 2 |
| Singapore and Japan | 3 | 2 |
| **American Samoa (Unaccompanied)** | **2** | **2** |

Note 1: The term "Without Dependents" applies to single members only. Members choosing to accept overseas orders without moving their dependents will complete an accompanied tour length.

### 4.A.5.b. Enlisted Personnel

1. The tour lengths which follow are targets, or goals, which can be met only under ideal conditions. Because it is necessary to transfer many members in certain arduous duty billets; e.g., LORAN stations, sea duty, etc., at the one, two, or three year points, it is difficult to ensure the completion of tours for members serving in non-arduous duty, which are three and four year assignments. The average of all stated tours contained herein is over three years. Because of the dynamic nature of the personnel system, taking into account separations, retirements, officer accessions, organizational change, and other Service requirements, the completion of any tour of duty as described may be precluded.

2. Members on their original enlistment will normally not be transferred from their first permanent duty station regardless of tour length unless:

   a. The member has been assigned to a ship for two years; advanced to E-5; a minimum of one year remaining on active duty (upon assigned arrival date); and the assignment is recommended by the commanding officer, or

   b. The member's assignment is necessary to fill independent duty billets or other urgent Service needs.

3. Commander (CGPC-epm) may grant extensions of up to one full tour length, within the needs of the service, to rated enlisted members who request to extend their tour length after completing a normal tour at their current operating facility (OPFAC). Members must compete for tour extensions based on their assignment priority. **If a member is granted a requested tour extension, the member is expected not to separate prior to completion of the extension.** Commander (CGPC-epm) may grant a second extension provided no other members request assignment to the same **position.**

4. Involuntary extension of tour lengths. Assignment tour lengths may be involuntarily extended if dictated by the needs of the Service. This policy applies only to those members who are currently serving INCONUS ashore and are candidates for another INCONUS ashore assignment. Commander (CGPC-epm) is the approval authority for enlisted members.

5. A back-to-back tour is a full tour of duty at the same OPFAC. Commander (CGPC-epm) normally disapproves back-to-back tours of duty since they prevent other deserving members from competing for assignments. However, CGPC-epm may consider approving a back-to-back tour if an incumbent is the only member requesting a billet which traditionally has been difficult to fill.

6. Non-rated enlisted personnel. If at tour completion an individual appears to be within twelve months of striker designation or orders to “A” school, the tour length may be extended until the member is designated or departs to class “A” school. These extensions will minimize disruption to members and their families surrounding PCS moves.

7. Overseas Elective Tour Lengths. Members ordered to overseas commands may request a one year increase to the established overseas tour length (Contained in the tour lengths for enlisted personnel tables) as follows:

   a. Prior to assignment overseas. During initial assignment negotiations, CGPC assignment officers will provide members the option of electing a 1-year increase in tour length prior to PCS.

   b. After assignment overseas. Members who do not elect a 1-year increase in tour length prior to departing PCS overseas, may request it within the first 12 months after reporting to the overseas command by submitting an E-Resume, with endorsement, to CGPC. For example, a member who reports on 01 October 1999 must submit an E-Resume requesting the increase no later than 01 October 2000.

   c. Members who elect a 1-year increase prior to departing PCS or within the first 12 months after reporting will not be allowed to change that election, unless service needs dictate otherwise.

   d. Members desiring to increase their tour length at the overseas command, who do not elect a 1-year increase prior to departing PCS or within the first 12 months after reporting, must compete in the normal assignment process for tour extensions.

TOUR LENGTHS FOR ENLISTED PERSONNEL

| **CONUS ASHORE** | **WITH AND WITHOUT DEPENDENTS (NOTE 1)** | | | |
|---|---|---|---|---|
| | **E-1 thru E-4** | **E-5** | **E-6** | **E-7,E-8,E-9** |
| Executive Petty Officer (XPO) | 3/3 (All grades E-1 through E-9) | | | |
| CG Liaisons | | | | |
| FTG & ATG<br>Little Creek<br>Mayport<br>Pearl Harbor<br>San Diego | | | | |
| LORAN Stations | 3/3 | 3/3 | 4/4 | 4/4 |
| MEPS | 3/3 (All grades E-4 through E-9) | | | |
| NSF & Strike Teams | 4/4 (All grades E-1 through E-9) | | | |
| Recruit Regimental Duty<br>TACLET, LEDET, HITRON & ITD<br>TRATEAMS (PAC & LANT) | 3/3 (All grades E-1 through E-9) | | | |
| **GM Ratings** | 3/3 | 3/3 | 4/4 | 4/4 |
| **FS Ratings** | 3/3 | 3/3 | 3/3 | 4/4 |
| All Others | 4/4 (All grades E-1 through E-9) | | | |
| **CONUS SEMI-ISOLATED** | **WITH AND WITHOUT DEPENDENTS (NOTE 1)** | | | |
| | **E-1 thru E-4** | **E-5** | **E-6** | **E-7,E-8,E-9** |
| ANT Morgan City | 3/3 (All grades E-1 through E-9) | | | |
| ANT Cape Hatteras | | | | |
| ANT Port Mansfield | | | | |
| ANT & STA Port O'Connor | | | | |
| ANT & STA Venice | 3/3 (All grades E-1 through E-9) | | | |
| AUXOP STA **Alpena** | 3/3 (All grades E-1 through E-9) | | | |
| AUXOP STA Sodus | | | | |
| Group Cape Hatteras | | | | |
| Light Station Boston | 2/2 (All grades E-1 through E-9) | | | |
| LORSTA Malone | 3/3 (All grades E-1 through E-9) | | | |
| LORSTA Nantucket (Note 6) | | | | |
| LORSTA Raymondville | | | | |
| MSO Morgan City | | | | |
| Station Bayfield (Note 6) | | | | |
| **Station Brant Point (Note 6)** | **4/4 (All grades E-1 through E-9)** | | | |
| Station Grand Isle | 3/3 (All grades E-1 through E-9) | | | |
| Station Hatteras Inlet (Note 5) | | | | |
| Station Neah Bay (Note 6) | | | | |
| Station Ocracoke | | | | |
| Station Parramore Beach | | | | |
| Station Portage (Note 6) | | | | |
| Station Port Aransas | | | | |
| Station Port Isabel | | | | |
| STA Quillayute River (Note 5, 6) | | | | |
| | | | | |

| OCONUS ASHORE | WITH AND WITHOUT DEPENDENTS (NOTE 1) | | | |
|---|---|---|---|---|
| | **E-1 thru E-4** | **E-5** | **E-6** | **E-7,E-8,E-9** |
| Alaska | | | | |
| Anchorage & Juneau | 4/4 | 4/4 | 4/4 | 4/4 |
| Kenai | 4/3 | 4/3 | 4/4 | 4/4 |
| AIRSTA Kodiak | 3/2 | 3/2 | 3/3 | 3/3 |
| HH65 ALPAT | | | | |
| AIRSTA DET Cordova | 3/2 | 3/2 | 3/3 | 3/3 |
| LORSTA Shoal Cove | 2/1.5 | 2/1.5 | 2/1.5 | 2/1.5 |
| LORSTA Tok | 2/2 | 2/2 | 2/2 | 2/2 |
| Isolated LORSTA'S | X/1 | X/1 | X/1 | X/1 |
| MSD Dutch Harbor | X/1 | X/1 | X/1 | X/1 |
| All Other Locations | 3/2 | 3/2 | 3/3 | 3/3 |
| Bahamas | 2/2 (All grades E-1 through E-9) | | | |
| Cuba (GTMO) | 2/2 (All grades E-1 through E-9) | | | |
| Europe | 3/3 (All grades E-1 through E-9) | | | |
| **Guam** | **3/3** (All grades E-1 through E-9) | | | |
| Hawaii | | | | |
| Oahu | 4/4 | 4/4 | 4/4 | 4/4 |
| All Other Locations | 3/3 | 3/3 | 3/3 | 3/3 |
| Puerto Rico | 3/2 (All grades E-1 through E-9) | | | |
| **American Samoa (Unaccompanied)** | **1 (All grades E-1 through E-9) Note 7** | | | |
| U.S. Virgin Islands (3) | 2/1.5 (All grades E-1 through E-9) | | | |

| OCONUS AFLOAT | WITH AND WITHOUT DEPENDENTS (NOTE 1) | | | |
|---|---|---|---|---|
| | **E-1 thru E-4** | **E-5** | **E-6** | **E-7,E-8,E-9** |
| WPB'S | 2/2 (All grades E-1 through E-9) | | | |
| WLR | 3/3 | 3/3 | 3/3 | 4/4 (OINC only) |
| All Others | 3/3 (All grades E-1 through E-9) | | | |

| OCONUS AFLOAT (4) | WITH AND WITHOUT DEPENDENTS (NOTE 1) | | | |
|---|---|---|---|---|
| | **E-1 thru E-4** | **E-5** | **E-6** | **E-7,E-8,E-9** |
| Alaska: | | | | |
| WPB'S (2) | 2/2 | 2/2 | 2/2 | 2/2 |
| Others (2) | 3/2 | 3/2 | 3/3 | 3/3 |
| Guam: (2) | 2/2 (All grades E-1 through E-9) | | | |
| **WLB's** | **3/3 (All grades E-1 through E-9)** | | | |
| Hawaii (2) | 3/3 (All grades E-1 through E-9) | | | |
| Puerto Rico (3) | 2/2 (All grades E-1 through E-9) | | | |

| SURFMAN/PROSPECTIVE SURFMAN (NOTE 5) | DESIGNATED SURF UNIT | | | |
|---|---|---|---|---|
| | E-4 | E-5 | E-6 | E-7,E-8,E-9 |
| STA Merrimac River<br>STA Chatham<br>STA Barnegat Light | 4/6 (All grades E-4 thru E-6) Note 5 | | | 4 |
| STA Hatteras Inlet | 3/5 (All grades E-4 thru E-6) Note 5 | | | 3 |
| STA Oregon Inlet<br>STA Humboldt Bay<br>STA Noyo River<br>STA Golden Gate<br>STA Morro Bay<br>STA Bodega Bay<br>STA Chetco River<br>STA Depoe Bay<br>STA Siuslaw River<br>STA Cape Disappointment<br>STA Coos Bay<br>STA Grays Harbor | 4/6 (All grades E-4 thru E-6) Note 5 | | | 4 |
| STA Quillayute River | Note 5 | | | 3 |
| STA Tillamook Bay<br>STA Umpqua River<br>STA Yaquina Bay<br>NMLBS Cape Disappointment | 4/6 (All grades E-4 thru E-6) Note 5 | | | 4 |

Note 1: The term “Without Dependents” applies to single members only. Members choosing to accept overseas orders without moving their dependents will complete an accompanied tour length.

Note 2: The normal tour of overseas duty for rated members assigned to ships will be three years, except WPB's which are two years, unless the ship is located in an area where the prescribed tour is less, in which case the lesser tour will apply.

Note 3: Public schools in Port Ponce, Puerto Rico, are unsuitable for students who speak only English. Public schools in the Virgin Islands may be considered by Coast Guard members to be undesirable for dependents. Private schooling is available, but the costs are high and must be borne by the Service member. Members with school-aged dependents who desire assignment to these areas will have an entry placed on their PCS orders acknowledging the financial and personal hardships that may result if they elect private education for their dependents.

Note 4: For travel entitlements in conjunction with Consecutive Overseas Travel (COT) of duty, refer to the Joint Federal Travel Regulations (JFTR), paragraph U7200.

a. If an advancement creates an over-billet situation, members with one year or more at their present geographic station will be subject to transfer upon acceptance of advancement to pay grades E-7 through E-9. Every effort will be made to minimize the number of transfers upon advancement to E-7 through E-9. Other enlisted members who become excess to unit allowance through advancement may be subject to transfer out of the geographic area after two years on board, or at any time if a billet vacancy exists in the same geographic area. These personnel may be transferred earlier than two years at their request, or if Service needs mandate transfer. Due consideration will be given to special training provided at the unit.

b. Personnel shortages elsewhere may require transfer of personnel prior to completing three years even though not in excess. Every effort will be made to ensure at least two years between transfers and to discuss the situation with the command prior to issuing any orders.

c. Prescribed tours may be extended voluntarily or involuntarily based upon Service needs.

d. Members with less than one year of obligated service remaining on a first enlistment will not normally be eligible for a PCS transfer, with the exception of transferring members from isolated and other OCONUS duty to process members for discharge.

e. OCONUS. Additional guidance for transfers to and from OCONUS can be found in Chapter 4.G of this manual.

Note 5: Tour lengths for Surfman at Designated Surf Stations. Surfmen are assigned to surf stations in either a certified status or a prospective surfman status. The tour lengths for each of these statuses are shown below:

a. Tour lengths for certified surfmen assigned to designated surf stations are four years, with the exception of Stations Hatteras Inlet and Quillayute River, which are three year tours. Additionally, due to semi-isolated location, ½ of the E-4 to E-6 surfmen billets at Station Quillayute River are two year tour lengths.

b. Tour lengths for prospective surfmen will be two years as a trainee and four years as a surfman for a total of six years with the exception of Station Hatteras Inlet, which will be two years as a trainee and three years as a surfman. Furthermore, because of semi-isolated location and short surf season, prospective surfmen will not normally be sent to Station Quillayute River. Assignment Officers shall indicate on the member's orders what status (certified or prospective surfman) the member will be assuming and the member's tour

length. Upon completion of their initial surf tour, surfmen should expect a follow on tour at a designated surf station.

c. Surfmen/prospective surfmen will remain for the full tour with the exception of personnel advanced to pay grade E-7 or above. Needs of the Service will determine whether personnel advanced to E-7 or above will complete a full tour.

d. Members assigned as prospective surfmen who do not show satisfactory progress towards qualification will be subject to reassignment.

Note 6: Screening Process. Members and dependents must be screened to determine their suitability for assignment to these remote locations. Use the command checklist for overseas screening contained in Article 4.H. to conduct this screening.

**Note 7: American Samao is an unaccompanied tour for all members assigned.**

## 4.A.6. Members' Availability for Unrestricted Assignments

### 4.A.6.a. Commandant's Policy

It is a long-standing feature of military service and the Commandant's policy that all Coast Guard members be available for unrestricted duty assignment worldwide. To achieve this responsiveness level, each Coast Guard member must make and maintain suitable arrangements to care for dependents. In many cases, a non-military spouse provides adequate care. However, the number of single-parent families and married military couples with dependents is growing.

### 4.A.6.b. Caring For Dependents

Caring for children or other dependents (e.g., aged parents, invalids) without a spouse's assistance can be a difficult, demanding task. Duty responsibilities can make this task even more difficult for a single member sponsor or military couple. Because many Coast Guard assignments feature unusual or irregular working hours and calls to immediate duty remain an inevitable possibility, members often encounter difficulties in caring for dependents.

### 4.A.6.c. Fair Implementation

It is manifestly unfair to implement the Commandant's unrestricted duty assignment policy differently among Service members. If for any reason a member is not available for unrestricted assignment for an appreciable period, the usual solution is separation from the Service. When it appears the member can resolve the problem, the Commandant grants a reasonable time for the member to return to availability for full duty through a humanitarian assignment (For enlisted members refer to Article 4.B.11.)

## 4.A.19. Sole Survivors

### 4.A.19.a. General

Policy on sole survivors applies to a father, mother, and one or more of a family's children, including adopted children and half-brothers or -sisters, who, while on active military service:

1. Is killed, or

2. Dies as a result of wounds, accidents, or disease, or

3. Is in a captured or missing in action status, or

4. Is permanently, l00 percent physically or mentally disabled as the Veterans Administration or one of the military Services determines or is hospitalized on a continuing basis and is not gainfully employed due to that disability. Any of these cases constitutes grounds to assign and retain the survivor outside the combat area. When the survivor is the father either he or his spouse may make such request.

### 4.A.19.b. Assignments

At the member's or one of his or her parents' request, Commander, CGPC will not assign a sole survivor to duty in a combat area. "Parents" includes legal guardians and natural and adoptive parents. This policy includes cases in which other sons or daughters died during service in either current or previous hostilities.

### 4.A.19.c. Once Qualified

Once a member qualifies as a sole survivor, he or she retains that status permanently even though there is no living family survivor. (McKart v. U.S., No. 403 (U.S. Supreme Court, May 26, 1969)).

### 4.A.19.d. Cases Not Covered

In case a commanding officer believes a situation is within the sole survivor policy's intent, but is not specifically described above, the commanding officer should advise Commander, CGPC of the circumstances and request a decision.

## 4.A.20. Social Climate Considerations

### 4.A.20.a. General

**A Social Climate Incident is an action or incident committed by a member or members of the local community against a Coast Guard military member or a dependent of a military member that is hostile, harassing, or perceived as discriminating in nature.**

**The Coast Guard's policy for Social Climate Incidents within the community, and other key definitions, are discussed in Section 3.A. of the CG Equal Opportunity Manual, COMDTINST M5350.4 (series). Unit commanders are expected to promptly investigate, report, and attempt to resolve incidents which occur and also to promote affirmative outreach with local community leaders to improve social climate conditions.**

**Some areas of the country have a history of repeated incidents of community discrimination or harassment against Coast Guard military members or dependents. The Coast Guard is committed to preventing Social Climate Incidents by interacting with communities in a constructive manner, working with local community leaders, and responding proactively to incidents when they occur. In some cases, the assignment process may be an appropriate means for minimizing the impact such incidents may have on military members or their dependents.**

### 4.A.20.b. Assessing Social Climate Conditions

**The CG Equal Opportunity Manual outlines responsibilities for assessing social climate conditions where the Coast Guard serves and lives. The unit commander is charged with monitoring the social climate in the local community.**

**CGPC may consider such information in the assignment process whether reported formally via Commandant (G-CR), or when information is provided directly by a command. As the unit commander is often in the best position to assess the local social climate and its impact on the health and well being of Coast Guard members and their families, the command's assessment may be an important factor when selecting members for transfer.**

**The unit commander's responsibility for monitoring the community's social climate is not a substitute for investigating specific incidents and formally reporting them through the chain of command. Additionally, CGPC should seek independent validation from Commandant (G-CR) when informal reports of social climate issues are presented for consideration in the assignment process.**

### 4.A.20.c. Assignment to Locations with Social Climate Concerns

**If a reasonable potential exists that a military member or a dependent of a military member may be subjected to Social Climate Incidents if assigned to a particular location, CGPC may consider an alternate assignment for the member which does not present the same risk. In evaluating such cases, one or more of the following criteria should be met:**

- **The location of the proposed assignment has a documented history of repeated Social Climate Incidents against Coast Guard military members or their dependents.**
- **The military member articulates a reasonable concern that the member or member's dependents may be subjected to Social Climate Incidents if assigned to a particular unit or location.**
- **The local unit commander articulates a reasonable concern that the member or member's dependents may be subjected to Social Climate Incidents if assigned to a particular unit or location.**

**In all cases, appropriate consideration must be given to the background, experience, seniority, and maturity of the military member or the member's dependents, as well as how the local social climate conditions may impact that particular member or dependents. The availability or lack of alternatives, resources, or support within the community (e.g., housing or neighborhood choices, other Coast Guard families, peer or support groups) must also be considered. Consultation between CGPC and Commandant (G-CR), the unit commander, and the member is often necessary before a decision is made.**

**If a social climate concern is presented by a military member or command, and upon CGPC's review is found not to be adequately supported by actual social climate conditions, the concern need not be considered further in the assignment process. CGPC-epm or CGPC-opm, as appropriate, is the final authority on assignment decisions in such matters.**

### 4.A.20.d. Social Climate Transfer

**When a Social Climate Incident is formally reported, and the findings show that the rights of a Coast Guard military member or dependent of a military member have been violated, a possible option for resolution is to transfer the military member. Generally, this option is only considered with the member's concurrence and only after the unit commander has been unable to resolve the complaint with local officials. Consistent with Service need and the unit commander's recommendation, CGPC will consider such requests, if it appears the local social climate conditions will likely subject the member or dependent to additional discrimination or harassment in the future. Consultation between CGPC and Commandant (G-CR), the unit commander, and the member is often necessary. Reassignment in such cases is not guaranteed, as Service need may require the member to remain in the area until a replacement is found or the member completes the tour of duty. See the Social Climate Incident Process Flowchart in Chapter 3 of the CG Equal Opportunity Manual for details.**

## 4.B.4. Assignment Priority

### 4.B.4.a. Assignment Priorities Considered in Selecting Rated Personnel for Assignments

Assignment priorities are critical in the enlisted assignment process, particularly for arduous or hard-to-fill restricted, afloat and overseas duty assignments. Members who have completed full tours normally receive preference in their next assignment based on these priorities:

| Assignment Priorities | |
|---|---|
| 1 | Members serving at overseas restricted units, **AVDET GTMO and PATFORSWA afloat.** |
| 2 | Members serving in overseas afloat units **other than PATFORSWA afloat**, onboard the Polar Class Icebreakers, Loran Station Shoal Cove **and PATFORSWA ashore**. |
| 3 | Members serving onboard INCONUS afloat units, LEDETs, HITRON deployment crews, **MSST deployment crews**; Special Command Aides, Recruit Company Commanders, the International Training Division, Coast Guard Recruiters, PSU active duty deployment personnel, personnel assigned to Stations Neah Bay and Quillayute River, MSD American Samoa and **Rating Force Master Chiefs (RFMC).** |
| 4 | Members serving at overseas ashore units, National Strike Force, Fleet and Afloat Training Groups, Atlantic and Pacific Area Training Teams, UTB and MLB STANTEAMS, MLC Food Services Assistance and Training (FSAT) Team, active duty members of International Ice Patrol (IIP), Commandant/Vice Commandant drivers and **STA Grand Isle**. |
| 5 | Members serving at INCONUS ashore units. |

Members who **are involuntarily extended** in an afloat position will have their assignment priority upgraded to the next higher priority.

### 4.B.4.b. Reassigning Members due to Position Deletion, Unit Decommissioning or Advancement

1. Position Deletion or Unit Decommissioning. If Service needs dictate an AO must issue PCS orders within one year after a member's reporting date due to position deletion or unit decommissioning, the affected member may retain the assignment priority of their previous unit. However, overall Service needs will determine whether such members will be allowed to compete in the next assignment season or be transferred sooner to fill critical service vacancies.

2. Advancements. When assigning a newly-advanced member, Assignment Officers will follow Article 4.C.3.e. guidelines regardless of assignment priorities.

### 4.B.4.c. Losing Assignment Priority

Members who do not have a current E-Resume on file will lose their assignment priority.

### 4.B.4.d. Assignment Priorities for Non-rates, Strikers, and Class "A" School Graduates

The above assignment priorities do not apply to Strikers, Class "A" School graduates, or initial assignment of non-rates. Service needs take precedence over all other factors in deciding these members' assignments and transfers.

### 4.B.4.e. Assignment Priorities for Surfmen (CXNSJ, CXNSK or CXNSM) at Designated Surf Stations

Members serving as surfmen at a designated surf station that must maintain certified surfmen will receive an assignment priority of '3' after they have successfully completed two consecutive tours at those stations. Members are considered to have successfully completed a surf tour only after having been certified on at least one surf-capable boat (30' SRB, 44' MLB, 47' MLB, or 52' MLB) for two or more years.

## 4.B.5. Sea and Shore Duty

### 4.B.5.a. Ratio of Sea to Shore Duty

The ratio of sea duty to shore duty billets in each rating largely determines the number of sea and isolated duty tours served compared to the number of shore duty tours served in a career. This ratio varies for each pay grade within each rating. Assignment officers will review previous assignment history and, consistent with Service needs, afford a fair share of sea duty and shore duty to each member.

### 4.B.5.b. Sea Duty for Advancement

Assignment Officers routinely will assign afloat members lacking the sea duty required to advance to the next pay grade as soon as Service needs permit.

## 4.B.6. Obligated Service for Assignment

### 4.B.6.a. INCONUS Reassignments

Unless otherwise indicated, these obligated service (OBLISERV) requirements apply when service members transfer PCS to INCONUS duty stations:

1. AOs normally will not transfer Service members E-4 and above, including active duty Reservists, with fewer than six years of active duty unless they reenlist or extend to have enough obligated service for a full tour on reporting to a new unit. Members normally will not be transferred if they have less than one year of OBLISERV remaining. However, if they elect to extend or reenlist, they may be considered for transfer. When Commander (CGPC-epm-2) directs a member with less than one year of OBLISERV remaining to transfer, i.e., the member has elected not to obligate additional service, the member signs a statement he or she understands reassignment may be directed on reenlistment or extension for OBLISERV. Commander (CGPC-epm-2) shall be advised immediately when the member re-enlists or extends. This OBLISERV policy has no effect on assignment preference, which is set by completing a prescribed tour of duty. Article 4.A.5. However, a member must comply with OBLISERV requirements before he or she will be permitted to execute his or her preferred assignment. Class "A" graduates on their first enlistment will obligate service as required by the Training and Education Manual, COMDTINST 1500.10 (series).

2. Personnel E-4 and above with over six years of active duty are considered to be in a career status. Unless otherwise indicated, they are required to have one year of OBLISERV remaining upon reporting to the new unit.

## CONTENTS


***4.C. ASSIGNMENT PROCESS FOR RATED AND DESIGNATED MEMBERS*** ***1***

**4.C.1. Overview** **1**
4.C.1.a. General 1
4.C.1.b. The Assignment Year (AY) Process 1
4.C.1.c. Non-Routine Assignments 5

**4.C.2. Communicating with Assignment Officers** **4**
4.C.2.a. The E-Resume 5
4.C.2.b. Letter Correspondence 6
4.C.2.c. FAX or Express Mail 6
4.C.2.d. Electronic Mail (E-Mail) 6
4.C.2.e. Telephone Calls 6
4.C.2.f. Unit POCs 7

**4.C.3. Assignment policy upon advancement** **7**
4.C.3.a. Service Needs 7
4.C.3.b. Position Vacancies 7
4.C.3.c. Assignment Officer Priorities for Assignments 8
4.C.3.d. Senior Enlisted Assignment Policy (SEAP) 8
4.C.3.e. Assignment of Newly Advanced Personnel E-4 to E-9 9
4.C.3.f. Projected Advancement to Chief Petty Officer 10
4.C.3.g. Petty Officer Assignment Policy (POAP) 10

**4.C.4. Assignment of strikers and "A" school graduates and disenrollees** **12**
4.C.4.a. General 12
4.C.4.b. Reassignment of Class "A" School Disenrollees 12

**4.C.5. Duties of Medical Personnel and Geneva Convention** **13**
4.C.5.a. Primary Duties other than Medical 13
4.C.5.b. Utilization of Medical Personnel 14

**4.C.6 Assignment as Officer-in-Charge (OIC)** **14**
4.C.6.a. Program Manager 14
4.C.6.b. General 14
4.C.6.c. OIC Review Board Coordinator 16
4.C.6.d. Request to Appear Before the Area/District OIC Review Board 17
4.C.6.e. Area/District OIC Review Board Procedures 17
4.C.6.f. OIC Pre-Board 20
4.C.6.g. Pre-Board and Area/District Review Board Results 21
4.C.6.h. Assignment as OIC 21
4.C.6.i. Submission of Request 22
4.C.6.j. Qualifications for Assignment 22
4.C.6.k. Assignment Policy 23
4.C.6.l. Special Duty Assignment Pay (SDAP) and Relief for Cause (RFC) Procedures 24

**4.C.7. Assignment as Engineering Petty Officer (EPO)** **24**
4.C.7.a General 24
4.C.7.b. Qualification for Assignment 24
4.C.7.c. Submission of Request 25
4.C.7.d. Selection Procedure 25
4.C.7.e. Assignment Policy 25

## CONTENTS

**4.C.8. Assignment as Executive Petty Officer (XPO) 26**
4.C.8.a. General 26
4.C.8.b. Qualifications for Assignment 26
4.C.8.c. Submission of Request 26
4.C.8.d. Selection and Assignment Procedure 27

**4.C.9. Assignment to Vessel Traffic Service (VTS) Duty 27**
4.C.9.a. General 27
4.C.9.b. Qualifications 28
4.C.9.c. Commanding Officer's Endorsement 28

**4.C.10. Assignment to National Strike Force Duty 29**
4.C.10.a. General 29
4.C.10.b. Qualifications 29
4.C.10.c. Training 30
4.C.10.d. Submitting Requests 30

**4.C.11. Assignment to Icebreaker Duty 31**
4.C.11.a. General 31
4.C.11.b. Qualifications 31
4.C.11.c. Required Action if Member Not Qualified 32

**4.C.12. Assignment to LAW ENFORCEMENT DETACHMENT (LEDET) DUTY 33**
4.C.12.a. General 33
4.C.12.b. Qualifications 33
4.C.12.c. Interview 34
4.C.12.d. Submission of Requests 34
4.C.12.e. Training 34
4.C.12.f. Assignment 34

**Exhibit 4.C.6 District Review Board Evaluation and Reporting Form, CG 5113**

## 4.C.13 Food Service Assistance and Training (FSAT) Team Positions

### 4.C.13.a. General

**Food Service Assistance and Training (FSAT) Teams travel throughout the Coast Guard to provide technical assistance, vocational training, mentoring, and policy interpretation, guidance on food production techniques, menu development, nutritional cooking methods and sanitation training. The FSAT Teams provide valuable procedural and policy interpretation to Food Service Specialists (FSs) and commands; provide data and policy recommendations to COMDT (CG-1111) and conduct financial and food service evaluations of Coast Guard Dining Facilities. Assignment to FSAT duties is reserved for those members who have an intimate and exceptional working knowledge, skill and experience in operating Dining Facilities. Those assigned to the FSAT Teams should expect an extensive travel schedule with frequent family separations.**

### 4.C.13.b Assignment

**Personnel are assigned to FSAT duties in accordance with authorized allowances. FSAT billets are currently located in Alameda, CA (MLCPAC) and Norfolk, VA (MLCLANT).**

### 4.C.13.c. Additional Qualifications

**In addition to the minimum standards outlined in Article 4.E.2.a., a member applying for a FSAT position must:**

1. **Serve in pay grades E-7, E-8, or E-9, or E-6 and be above the cutoff on the current E-7 eligibility list.**

2. **Have a written command endorsement that specifically addresses the member's ability to: speak in public, articulate Coast Guard Policy; communicate both written and verbally, provide mentoring, interact with senior officers, adhere to Coast Guard core values, and have the potential for success in a FSAT position.**

3. **Have a minimum 5 years sea duty, 3 years of which must have been served aboard Coast Guard Cutters.**

4. **Have successfully served as a Food Service Officer within 3 years of applying for a FSAT position. (Not applicable for pay grade E-9).**

5. **Possess a government travel card with an account in good standing. FSAT members must be capable of performing extensive travel throughout their respective area of responsibility.**

6. **Meet the requirements for Instructors per Article 4.E.6.**

7. **Have the ability to effectively deliver instruction and training to large audiences with junior and senior enlisted and officers in attendance.**

### 4.C.13.d. FSAT Member Training

**New FSAT members will receive on the job training.**

### 4.C.13.e. Evaluating FSAT Members

**New FSAT members will be evaluated for suitability as early as possible. Those who are found unsuitable shall be reassigned, as necessary, under the provisions of Article 4.E.4.**

# 4.H. Overseas Duty and Moving Dependents and Household Goods OCONUS

## 4.H.1. General

### 4.H.1.a. Overseas Service

Overseas service is defined as military duty performed while assigned to a military installation or activity permanently based outside the 48 contiguous United States and the District of Columbia.

### 4.H.1.b. Required Prior Service for Assignment Overseas

10 USC 671 states:

> (a) A member of the armed forces may not be assigned to active duty on land outside the United States and its territories and possessions until the member has completed the basic training requirements of the armed force of which he is a member."
>
> (b) In time of war or a national emergency declared by Congress or the President, the period of required basic training (or its equivalent) may not (except as provided in subsection (c)) be less than 12 weeks.
>
> (c)(1) A period of basic training (or equivalent training) shorter than 12 weeks may be established by the Secretary concerned for members of the armed forces who have been credentialed in a medical profession or occupation and are serving in a health-care occupational specialty, as determined under regulations prescribed under paragraph (2). Any such period shall be established under regulations prescribed under paragraph (2) and may be established notwithstanding section 4(a) of the Military Selective Service Act (50 USC App. 454(a)).
>
> (c)(2) The Secretary of Defense, and the Secretary of Homeland Security with respect to the Coast Guard when it is not operating as a service in the Navy, shall prescribe regulations for the purposes of paragraph (1). The regulations prescribed by the Secretary of Defense shall apply uniformly to the military departments.

Congressional intent is that no service member should be assigned to any unit in a combat zone with fewer than 12 weeks of basic or equivalent training; travel time on a Coast Guard cutter qualifies as such training. To conform to this policy, the first duty assignment of members ordered overseas with fewer than 12 weeks of basic or equivalent training shall be to duty at units within a United States State or Territory, including units under Greater Antilles Section. Trust Territories are not Territories of the United States.

### 4.H.1.c. Assigning A Sponsor

Past experience has shown members and their families often lack information about the area to which PCS orders have been issued. Positive command interest and sponsor enthusiasm are invaluable at this critical time in attitude formulation, and support at all levels is required to ensure effectiveness and continued success of the sponsor program. To overcome the problems associated with a PCS transfer to duty OCONUS, commanding officers shall ensure compliance with Article 4.A.15.

### 4.H.1.d. Members' Return for Separation or Retirement

1. Article 12.C.1 or Article 12.B.46, as appropriate, contain the procedures for processing a member serving at a duty station OCONUS when he or she is due for retirement or separation due to expiration of enlistment or release from active duty and who is not re-enlisting or extending at that duty station. If transferred for separation processing, the member will be detached in time to permit him or her to report to the processing activity between 12 and 15 working days before the retirement or separation date.

2. When retirement or separation is scheduled in close proximity to rotation, transfer will be as indicated below:

   a. Transfer members serving in non-restricted assignments OCONUS who have requested voluntary retirement for a date after normal rotation date as follows:

      (1) If requested retirement is within six months of rotation, retain the member on board the unit and later transfer him or her to the nearest debarkation point in accordance with Article 12.C.1.

      (2) If requested retirement is more than six months after rotation, the member may be transferred to CONUS for routine assignment to a unit subject to Service needs.

   b. Retain overseas until separation members serving assignments for a tour of 24 or more months and who on completing the prescribed tour will have six or fewer months' active obligated service remaining after rotation. If a member agrees to extend his or her period of active obligated service to have 12 months of active service remaining on completing the tour overseas, transfer him or her on normal rotation eligibility.

   c. Routinely transfer personnel serving in restricted assignments OCONUS to CONUS on their normal rotation dates and assign them in accordance with Service needs.

### 4.H.1.e. Glossary of Terms

Exhibit 4.G.1. contains definitions of terms used in this article.

## 4.H.2. Determining Members' and Dependents' Suitability for Overseas Duty

**1.** Prior to submitting an e-resume for requesting an assignment overseas, members must:

**a. Review the Command Checklist for Overseas Screening (Exhibit 4.H.1.), the Overseas Screening for Active Duty Dependents (Exhibit 4.H.2.) and conduct a self-paced screening.** Married members are strongly encouraged to review these checklists with their spouses.

b. The following statement must be entered into the comment section of a member's e-resume:

> "My family (if applicable) and I meet the criteria for overseas assignment as outlined in Article 4.H. of the Personnel Manual, COMDTINST M1000.6 (series)**.** My spouse (if applicable) and I have reviewed the Command Checklist for Overseas Screening, the Financial Assessment Checklist and the Dependent Overseas Screening shown in Article 4.H. of the Personnel Manual, COMDTINST M1000.6 (series)."

2. Within ten days after receiving authority to transfer a member to overseas duty, **the command's designated screener must interview the member and spouse** to determine their and any dependents' suitability for overseas duty.

3. Use the Command Checklist for Overseas Screening (Exhibit 4.H.1.) for the interview.

**a**. **Ensure that a copy of the Command Checklist for Overseas Screening (Exhibit 4.H.1.), and the Overseas Screening for Active Duty Dependents (Exhibit 4.H.2.) is provided to the member.**

b. In determining suitability, the commanding officer **or officer in charge** shall ascertain whether the member or dependents possess character traits which reflect favorably on the United States and any medical, moral, financial, or physical attributes which would preclude their conducting themselves as worthy representatives of the United States abroad. Besides reviewing the members' Personnel Data Record, the commanding officer must ascertain the members' and dependents' medical fitness. Active duty members are to be seen by an appropriate Coast Guard medical provider or contract physician. Dependents should be seen or evaluated by their local Tricare provider.

c. In the case of members assigned PCS to a service school, the training school command is responsible for reviewing members' training records and

interviewing them and their dependents to determine their overall suitability for overseas duty.

d. Commanding officers **and officers in charge** are to ensure a copy of the completed Checklist for Overseas Screening and **the endorsement portion of the** Overseas Screening for Active Duty Dependents is faxed to the **Entry Approval Authority for** the receiving unit, within 5 days after completion of the overseas interview process.

**e. Entry Approval Authority points are required to acknowledge receipt of Checklist for Overseas Screening and Overseas Screening for Active Duty Dependents by endorsing it and forwarding a copy via FAX, email or regular mail to the member's originating unit. Members will not be issued PCS travel orders until this requirement is met.**

f. Overseas Orders for Cape May Recruits. Training Center Cape May will make every attempt to forward the Checklist for Overseas Screening and Overseas Screening for Active Duty Dependents, along with the entry approval message, to the appropriate entry approval source no later than 10 days prior to the departure of Cape May recruits who are assigned to overseas positions. However, due to the nature of recruit assignments and processing, it may be difficult to meet the 10 days prior to departure requirement on a consistent basis. In these cases, Training Center Cape May will forward the Checklist for Overseas Screening and Overseas Screening for Active Duty Dependents, along with the entry approval message, to the appropriate entry approval source prior to the departure of Cape May recruits who are assigned to overseas positions.

g. At the commanding officer's request, a chaplain also may assist in determining overseas suitability.

**h. All Coast Guard Academy, OCS and DCO graduates without dependents who do not anticipate acquiring any dependents while en route to their overseas duty station shall have their entry approval granted or denied by CG Academy. Training Center Cape May shall be the entry approval authority for recruit training graduates who do not have nor plan to acquire dependents while en route to their overseas duty station.**

## 4.H.3. Suitability Decision Factors

### 4.H.3.a. Medical

Any service member's or dependent's documented medical problem that would preclude assignment to overseas duty or which assignment overseas would complicate to the extent medical evaluation or early return would be necessary is considered disqualifying. If only dependents are disqualified for medical or any other reasons, urgent Service needs may require the member to serve an unaccompanied tour. Active duty members are considered available for worldwide assignment. As such, this policy

should not be interpreted as an opportunity to turn down PCS orders overseas.

### 4.H.3.b. Dental

Normally, dental conditions do not preclude overseas assignment. Members ordered to isolated overseas stations with limited dental facilities should have no dental defects likely to require extensive, prolonged treatment. Only in extreme cases where members are unable to perform assigned duties due to dental conditions will they be considered unsuitable for overseas duty. Dependents' dental problems do not usually disqualify a member in determining suitability for overseas transfer to activities where Tricare Dental Plan (TDP) providers exist. The commanding officer may request a dental screening examination from the dependent(s) present TDP provider in determining if a dependent's dental condition is disqualifying. However, if dependent dental problems disqualify a member for transfer to an overseas area, urgent Service needs may require the member to serve an unaccompanied tour. Dependents who will accompany members transferring to activities where TDP providers are present should not postpone needed dental care in anticipation of orders.

### 4.H.3.c. Alcohol

Members with a documented history of unresolved alcohol abuse will be considered unsuitable for overseas duty. Members who successfully completed an alcohol rehabilitation program and have experienced no alcohol involvement for **one year** after completing the program are judged suitable for overseas duty. Members who complete alcohol rehabilitation while assigned overseas may return to their permanent OCONUS unit unless the rehabilitation facility indicates such return would jeopardize full recovery.

### 4.H.3.d. Performance

A member's history of demonstrated unsatisfactory or marginal performance in the previous two years renders him or her unsuitable for overseas assignment.

### 4.H.3.e. Discipline

A history of courts-martial, non-judicial punishment, or involvement with civil authorities in the previous two years may disqualify a member for overseas duty. A one-time major offense; e.g. a felony, in the current enlistment disqualifies the member.

### 4.H.3.f. Pregnancy

The fact that an active duty service member is pregnant does not, in itself, disqualify her for overseas assignment. However, dependent upon medical approval, transferring pregnant members to overseas assignment will be done on a voluntary basis for the period prior to and extending to six months after delivery.

### 4.H.3.g. Single Parents

The unique situation of single parents with dependents does not in itself disqualify them for overseas duty. Article 4.A.6.

### 4.H.3.h. Indebtedness

1. **Financial Assessment Checklist**. This checklist is used by the member to assess his/her financial status.

2. Members with serious financial problems or indebtedness which have not been resolved with the creditor(s) or interested parties, or a documented history of indebtedness over the last three years will be considered unsuitable for overseas duty. Chapter 8.L. for policy on resolving indebtedness.

### 4.H.3.i. Dependent Screening

An Overseas Screening for Active Duty Dependents form will be used to determine suitability of dependent(s) to accompany members for overseas duty. Members must complete a form for each dependent. Members choosing to accept overseas orders without moving their dependents will complete the "with dependents" tour length as outlined in Article 4.A.5. If the member elects to not move his or her dependent and then at some later date desires to move them, then the member's previous command must ensure the required screening occurs. If the dependents are not within reasonable proximity (i.e., dependents moved to a different city or state) of the member's previous command, then the closest Coast Guard command can perform the required screening. All costs associated with traveling to and from the closest Coast Guard command will be borne by the member/dependents. The overseas command will not approve dependent entry until it receives certification of suitability.

## 4.H.4. Additional Procedures

### 4.H.4.a. Clearance Before Detachment

On receiving orders to an area for which entry approval is required, the transferring command shall ensure that approval is requested and received prior to detachment per Exhibit 4.H.3.

### 4.H.4.b. Administrative Processing

When the member and his or her dependents are considered suitable in all respects for duty overseas and the member meets the active obligated service requirements for the prescribed tour, the commanding officer shall ensure the required entries are made on a CG-3307, Administrative Remarks. Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

### 4.H.4.c. Member or Dependent Unsuited for Overseas Duty

When for any reason a commanding officer considers a member or any of his or her dependents unsuited to duty overseas, he or she shall withhold executing the orders and immediately report the circumstances to Commander (CGPC-opm or epm) in sufficient detail to enable proper disposition. If long-term in nature, non-availability for worldwide assignment may be grounds for separation.

## 4.H.5. Member's/Dependents' Early Return from Overseas

### 4.H.5.a. Reassigning Member Before Tour Completion

1. Member. When the commanding officer (or area commander) of any overseas area considers it necessary to reassign a member for suitability reasons before normal tour completion, he or she shall submit a request to Commander (CGPC-opm or epm) stating his or her reasons and all factors requiring reassignment. Such reassignment is restricted to specific cases for which transfer is the only feasible solution. Transfer is not a substitute for appropriate disciplinary or administrative action.

2. Dependents. Various reasons may necessitate the need to return dependents early. The guidelines that must be met before requesting funding for an early return of dependents are contained in the Joint Federal Travel Regulations (JFTR), Section U5240D. Request for early return of dependents should be sent, via message, to Commander (CGPC-opm-2) or (CGPC-epm-2) as appropriate.

### 4.H.5.b. Reassignment at Member's Request

If a member requests reassignment, he or she must base the request on a hardship, and the request must conform to Article 4.B.11.

## 4.H.6. Selecting Enlisted Members for Overseas Duty

### 4.H.6.a. Obligated Service Requirements

Enlisted personnel selected for transfer OCONUS must have sufficient obligated active duty service as of date of departure from CONUS as follows:

1. Personnel must have required service to complete the prescribed tour for the area, re-enlist, or extend enlistment, unless Commander (CGPC-epm) authorizes otherwise. Article 1.G.2.

2. The Commandant may direct members with 18 months remaining to non-restricted duty or 13.5 months remaining to restricted duty.

3. For entitlement to command sponsorship for dependent travel overseas and payment of overseas station allowances which may be authorized. Articles 4.H.9. and 4.H.10.

### 4.H.6.b. Family Size Guideline

Commanding officers shall ensure enlisted personnel are aware adequate housing at reasonable costs may be in short supply or non-existent in overseas areas for members with large families. Of particular concern are those married members ineligible for overseas allowances and government quarters due to the lack of command sponsorship. To avoid hardships on members and preclude an administrative burden to overseas commands, the following is a guide in determining assignment to overseas duty:

| Pay Grade | Number of Dependents |
|---|---|
| E-7, E-8, E9 | 4 |
| E-6 | 3 |
| E-5 | 2 |
| E-1, E-2, E-3, E-4 | 1 |

Although assignment officers make every effort in the assignment process to avoid ordering personnel with large families to an overseas area, the parent command must be alert and ensure it detects any problem making a member ineligible for an overseas assignment and reports it immediately to the Commander (CGPC-epm). The overseas commander can grant a waiver for entry approval to a member with more dependents than shown above, based on the member’s overseas screening and the needs of the unit.

## 4.H.7. Preparing Members for Duty OCONUS

Before transferring members to duty overseas, commanding officers shall ensure the instructions contained in this article are completed.

### 4.H.7.a. General

1. Members and their dependents are in all respects qualified for overseas duty. Articles 4.H.2 and 4.H.3.

2. Members have valid identification cards and International Certificates of Vaccination, PHS-731, where required.

3. Arrangements have been made to obtain passports, if required. Article 16.J.4.a.

4. Before detachment, members with dependents assigned to duty from a station OCONUS to a dependent-restricted or unaccompanied tour may be authorized to receive station allowances if the dependents remain at the old duty station or any other designated location OCONUS authorized by Commandant (**CG-1222**). Members with dependents who are assigned to duty from a station in CONUS to a dependent-restricted or unaccompanied tour OCONUS may be paid station allowances if they elect and Commandant (**CG-1222**) authorizes moving dependents to a designated place in accordance with JFTR, U9301.

5. Ensure members or dependents do not have a history of or indication of ongoing alcohol abuse. Successfully resolved alcohol problems are not a bar to overseas assignment. However, members must be made aware of a possible lack of ongoing treatment and counseling facilities at overseas units.

### 4.H.7.b. Physical Fitness for Overseas Duty

1. The member shall complete a physical examination before transfer when required in accordance with Article 3-A-7, Medical Manual, COMDTINST M6000.1 (series). The physical may be administered up to six months before scheduled reporting. Completing the required physical examination early will preclude requests for cancellation of orders. When initial information indicates the member is unqualified for any reason, the member's commanding officer shall immediately submit a message report to Commander (CGPC-opm/epm), as applicable.

2. Complete all necessary preventive immunizations. COMDTINST 6230.4 (series).

3. Complete all essential dental treatment.

4. A duplicate pair of eyeglasses shall be issued to members requiring glasses to correct refractive errors whose uncorrected distant visual acuity is worse than 20/40.

### 4.H.7.c. Orders

1. Orders shall be issued as early as possible to allow for sufficient time for processing of household goods, shipment of privately owned vehicles, etc.

2. Prepare travel orders and distribute copies of travel orders using instructions in the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

3. If required, prepare NATO supplemental orders. Article 4.A.18.

### 4.H.7.d. Enlisted Members

1. **Enlisted members in pay grades E-2 through E-6 shall have a valid motor vehicle operator's license unless Commander (CGPC-epm) waives this requirement.**

2. Commanding officers shall comply with Article 4.B.1.i.

3. Commanding officers shall advise enlisted members of the appropriate uniform in accordance with uniform regulations.

## 4.H.8. Tours of Duty OCONUS

### 4.H.8.a. General

Tours of duty set forth in Chapter 4.A.5. shall be adhered to as closely as possible within the limitations imposed by availability of relief and special considerations. When a tour length has been shortened, members currently on board shall not be considered for rotation until a replacement has been provided or the member completes the tour prescribed on transfer to the station, whichever is earlier. When a tour is lengthened, members presently on board shall be rotated upon completing the tour as was prescribed upon transfer to the station unless the member desires the longer tour length and it is consistent with Service needs.

1. Personnel transferring overseas should expect to complete the prescribed tour of duty even if they advance to the next higher enlisted pay grade. Early transfers from overseas based solely on a member's advancement will be based on Service needs. If a member must be transferred due to advancement, then the Assignment Officer shall follow the procedures outlined in Article 4.C.3.E.5. All other requests for a member's early return from overseas shall conform to criteria in Article 4.H.5.

2. Credit for overseas duty begins the date the member departs from a CONUS port and terminates the date he or she returns to a CONUS port on PCS. If a member takes leave en route OCONUS, the departure or return date is the constructive date for direct travel.

3. Orders to members transferring to overseas pre-commissioning details for further transfer to units when commissioned will specify tour length.

4. Normally, members will not be assigned consecutive overseas tours of duty against their wishes unless Service needs dictate otherwise.

5. From time to time the Commandant may direct changes in lengths of duty tours. Individual tours will be abbreviated or extended as necessary to avoid excessive turnover. The basic criterion for tour lengths is the successful, efficient accomplishment of the specific unit's missions.

### 4.H.8.b. Member Married to Active Duty Coast Guard Member

In the case of a married member whose spouse is also an active duty Coast Guard member, the tour of duty is established as follows:

1. When an accompanied assignment is made and both members' reporting dates coincide, both members will serve the "with dependent" tour as outlined in Article 4.A.5. However, if one member's duty station has a shorter prescribed tour, they both are entitled to rotate upon completing the shorter tour unless the member eligible for the earlier rotation desires an extension.

2. If the members' reporting dates do not coincide and the second member transfers at government expense (Article 4.A.8.), the tour length of the member arriving last may be adjusted to coincide with the rotation date of the member arriving first provided the accompanied assignment will last at least 12 months. The spouse who arrives first may elect to extend his or her tour to coincide with the second member's.

3. When a member marries an active duty member while both are on duty OCONUS, the original rotation eligibility will be maintained unless both members agree to serve a longer with dependent tour. If enlisted members choose to be reassigned independently, the following Administrative Remarks, CG-3307, entry will be made:

   I understand that neither my spouse nor I will be considered for reassignment under the provisions of Article 4.A.8. Personnel Manual, COMDTINST M1000.6 (series) until eligible for normal rotation.

   Signed: (Member's full name)

4. The provisions of Article 4.A.8. also apply to officers, and the above statement will be forwarded by letter to Commander (CGPC-opm).

### 4.H.8.c. Extending Overseas Tours

Members may request extensions of overseas tours as prescribed here. Forwarding endorsements must indicate that the member still meets the qualifications to remain overseas (See Article 4.H.3.) Extensions will be granted only in cases deemed to be in the Service's best interests. Submit requests for extensions on E-Resume.

### 4.H.8.d. Transferring from one Overseas Unit to Another Overseas Unit

1. **Overseas screening will be completed for all assignments involving overseas duty, regardless of whether the current and new duty stations are in the same geographic area.**

### 4.H.8.e. Overseas Tour Lengths When Marital Status Changes

1. Personnel who marry while overseas may request that their tour length be increased to the "with dependent" tour length unless needs of the Service dictates otherwise. If the member requests and receives command sponsorship for their newly acquired dependent, then their tour length will be increased to the "with dependent" tour length. Commands must notify Commander (CGPC-opm) for officers and CGPC-epm for enlisted personnel when they grant command sponsorship for a newly acquired dependent. Upon notification, CGPC will adjust the member's tour length to the "with dependent" tour length.

2. Personnel who were stationed overseas when married and their marital status changes (i.e., divorce) will keep their "with dependents" tour length. However, upon tour completion, if the member is transferred to another overseas command, then the member can elect a "without dependent" tour length if it is applicable to the new assignment.

3. Personnel who marry en route to the new duty station:

    a. Effective date of orders and travel and transportation entitlements are calculated in accordance with Appendix A, Joint Federal Travel Regulations.

    b. Dependent(s), desiring to accompany the member, must complete the overseas screening process and receive entry approval from the overseas command.

c. Tour lengths.

(1) Personnel who marry en route will have their tour length adjusted to the "with dependent" tour length if dependents receive command sponsorship/entry approval and accompany the member to the new overseas duty station.

(2) Personnel who marry en route will keep their "without dependent" tour length if dependents do not receive command sponsorship/entry approval and do not accompany the member to the new overseas duty station. If command sponsorship/entry approval is granted at a later date, then the member's tour length will be adjusted to the "with dependents" tour length.

## 4.H.9. Moving Dependents and Household Goods OCONUS

### 4.H.9.a. Entry of Dependents and Household Goods

The transferring command initiates requests for entry of dependents and shipment of household goods. **Exhibit 4.H.3. lists areas OCONUS** which do and do not require entry approval for dependent travel and shipment of household goods and privately owned vehicles.

### 4.H.9.b. Command Sponsorship of Dependents

"Command Sponsorship" includes both authorized entry (permission granted before travel) and approval of dependents (after-the-fact confirmation of authority to be present in the area) and may entitle the member to dependent transportation to and/or from the overseas area and any station allowance which may be payable for the area. Command sponsorship should not be effective until the receiving command (command granting entry approval) has an opportunity to submit a list of questions covering specific topics it knows from experience are typical or recurring problem areas. The transferring command then must ask the member and his or her family those questions. Once the transfer is complete, the receiving command may provide feedback to the transferring command on the adequacy of the overseas screening the transferring command conducted.

1. Request for entry approval must be sent no later than 6 weeks prior to the member's departure from the transferring command. Ten days notification is sufficient for non-rated personnel graduating from recruit training.

2. A member who does not have 12 months remaining in his or her tour of duty shall not be granted command sponsorship and is NOT entitled to station allowances and dependent travel. The member becomes eligible for dependent travel only on his or her next PCS assignment and then only for the port of entry to the new duty station.

3. Authorization for dependents' entry may be granted when dependents are not prohibited from being in the area and the member is eligible for dependent travel from CONUS. Article 4.H.9.c.

4. For personnel ordered to areas where authorization for entry of dependents is not required, local commanding officers are authorized to issue appropriate certification and pay orders.

5. In cases of newly acquired dependents or when dependents arrive in the overseas station's vicinity in a "tourist" status and the member and dependents take up residence there with evident intent to establish a permanent household, the member may request and the overseas commander may grant approval of dependents. In all such cases, a bona fide dependent status must exist and members must have complied with all local regulations and appropriate immigration requirements.

6. Command sponsorship (authorized entry or approval of dependents) is effective from the date of determination. The determination is a valuable part of validating payments or substantiating dependents' transportation. When the overseas commander has approved determination, it shall be noted by an appropriate entry on an Administrative Remarks, CG-3307, in the enlisted member's Personnel Data Record and by letter for an officer.

### 4.H.9.c. Transporting Dependents to an Overseas Area

1. To be eligible for dependent travel from CONUS:

   a. The member must meet the greater of this required obligated service:

      (1) Have sufficient service remaining to complete the "with dependent" tour effective on dependents' arrival and computed from the date the member began his or her tour for the area unless Commander (CGPC-epm) grants an exception, and

      (2) Have a minimum of 12 months of his or her "with dependent" tour remaining after dependents' arrival.

   b. Dependency must exist on the effective date of orders.

2. Requests for entry authorization, when required, must state the member is in all respects eligible for dependents' transportation to the overseas area at government expense.

3. Unless command-sponsored, dependents' transportation to an overseas station where entry approval is required will not be authorized at government expense.

4. When concurrent travel is planned, it is of paramount importance the member has sufficient obligated service to complete the particular area's prescribed "with

dependent" tour. The member cannot gain retroactive eligibility for dependent travel already performed through any subsequent extension or reenlistment.

5. In no event will a member's dependent(s) be transported overseas at government expense unless at least 12 months remain on the applicable overseas tour after the date the dependent(s) arrive overseas.

6. Enlisted members with more than 17 years of active duty must sign an Administrative Remarks entry, CG-3307, agreeing to remain on active duty for the time required to complete the applicable overseas tour. Any extension for this purpose may be conditional because it is subject to cancellation if dependents' entry is not approved.

7. If a member's request for entry authorization and/or transportation of dependents is temporarily denied for reasons the appropriate military commands may deem pertinent, the member must promptly apply for dependents' entry after he or she arrives at the overseas station.

8. A member who is not entitled to dependents' transportation at government expense and who is not authorized to have dependents present in the vicinity of the overseas duty station will not be furnished space-available transportation for his or her dependents incident to travel to the overseas duty station.

### 4.H.9.d. Transporting Dependents from an Overseas Area

1. A member is eligible for dependents travel to CONUS provided the dependents have met the requirements for command sponsorship in Article 4.H.9.b., or

2. Dependents who are not approved to be present in the area may be transported on a space-available basis in conjunction with the member's PCS from the overseas area provided:

   a. The member complies with command regulations pertaining to their acquisition, and

   b. The dependents meet any applicable U.S. Immigration and Naturalization Service requirements for entry into the United States.

### 4.H.9.e. Household Goods

The pamphlet "It's Your Move," COMDTPUB P4050.5, contains guidance for members proceeding overseas. It is in the public interest to avoid spending public funds unnecessarily in shipping privately owned household goods to and from overseas. Additionally, it is in the member's interest to prevent unneeded wear and tear on his or her goods resulting from such shipments. Members receiving orders to an overseas duty station are strongly encouraged to seek counseling from their local transportation

officer regarding overseas entitlements, restrictions on POV size, and communicate with their new command well in advance of transfer date. A timely information exchange between the member and his or her new command about the member's housing requirements (family size and composition, heavy appliances owned, approximate arrival date, etc.) compared to what is available to satisfy them should permit intelligent choices about what to ship and what to store. Certain restrictions on shipment of household goods apply to areas where public quarters are fully furnished. The district commander indicates these restrictions when the member applies for assignment to family housing, which he or she must do before detaching from the previous duty station within CONUS.

## 4.H.10. Monetary Allowances

Station allowances outside the United States are payable in accordance with JFTR, U9000 and the U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series).

# Command Checklist for Overseas Screening

These checklists shall be completed within **TEN DAYS** of receipt of PCS orders.
These checklists shall be faxed to the entry approval point within **FIVE DAYS** of completion.

- Section One shall be completed by the member and spouse (if applicable) prior to the interview.
- Section Two shall be completed by the member prior to the interview.
- Section Three shall be completed by the transferring command.
- Section Four shall be completed by the screener.
- Section Five shall be completed by the medical reviewer and the transferring command C.O.
- The entire completed checklist shall be faxed to the appropriate Entry Approval Point and then filed in part two of the member's SPO PDR.
- The Dependent Medical Review shall be completed by competent medical authority and filed in the member's medical record.

The screening shall be completed by the **most** qualified member available at each unit.

- If possible, the screener should be someone who has been previously assigned overseas.
- The screener shall be an E7 to CWO4 or O3 and above.
- If possible, the screener should be senior to the member being screened.
- The screener shall have a completed copy of section one of the checklist, including the member's remarks section, during the interview and shall review each question with the member and spouse (as applicable.)
- The screener shall ensure that all items of interest are clearly explained in either the member's remarks or in their endorsement.

Section Three (Unit Review) shall be completed by the unit's senior administrator who normally has access to the member's unit SPO PDR. The reviewer shall normally be an E7 or above, except when the XPO is an E6. This review may be conducted by the screener, but it is not required.

**The purpose of this screening & review** is to determine a member and dependents suitability for travel overseas. This includes determining if the dependents are fully prepared for living overseas. If the screener has any doubts about the member's suitability, they shall bring it to the attention of the member's command. A thorough review of **ALL** questions on this checklist is essential to a successful screening. The screener should contact the applicable Entry Approval Point if they have any questions about how to conduct the screening. The spouse may be interviewed via phone or by another command if necessary, but **only as a last resort**. Every effort should be made to have the interview conducted simultaneously, and by just one screener. The screener should contact the applicable Entry Approval Point if they have any questions about how to conduct the screening.

**MEDICAL ISSUES:** If any medical issues come up during the interview, the screener shall ensure that the issues are reviewed by the medical authority completing the medical dependent screening portion.

| Member's Name | | | Grade/Rate | EMPLID | Date | |
|---|---|---|---|---|---|---|
| Current Duty Station & Phone Number | | | New Unit & Phone Number | | | |
| Screener's Name | | | Grade/Rate | Phone Number | | |
| Spouse | | | Dependent | | Age | Gender |
| Dependent | Age | Gender | Dependent | | Age | Gender |
| Dependent | Age | Gender | Dependent | | Age | Gender |

## Section One – Member & Spouse

**For medical or work-life issues, the member and spouse only need disclose that there is an issue to be addressed or resolved. In the interest of privacy, the screener only need know that the problem is being addressed, and by whom. They need not know the specific facts or nature of the issue or concern.**

***Part A – To be completed by member only.***

| YES | NO | ITEM |
|---|---|---|
| | | 1. Are you a single parent or married to another service member? **If No →** Continue checklist. **If Yes →** Have dependent care requirements been met per 4-A-6, PERSMAN? **[ ] Yes [ ] No** |
| | | 2. Have you ever had an Early Return of Dependents, early transfer due to unsuitability, or a Humanitarian Assignment? **If Yes →** Explain completely, including dates, in remarks section. **If No →**Continue checklist. |
| | | 3. Have you been counseled on overseas pay, allowances and travel and household goods entitlements? **If No →** Member shall talk to unit admin personnel about this topic before continuing screening. |
| | | 4. Do you have a Government Travel Charge Card? **If NO →, you must apply for it immediately, AND explain in the remarks block.** |
| | | 5. Do you possess a valid state driver's license? **If No →** Explain in remarks section**. If Yes →** Continue checklist. |

***Part B – To be completed by member and spouse (if applicable.)***

| YES | NO | ITEM |
|---|---|---|
| | | 6. Do you, your spouse, or any dependent(s) have any knowledge of any on-going medical, dental, psychological, physical or educational problem(s) or treatment(s) or special needs? **If Yes →** Screener should refer to appropriate authority for review. **If No →** Continue checklist. |
| | | 7. Are you aware of the climate and isolation constraints (darkness, temperature, public transportation, etc.) at the proposed duty station? **If No →** Member shall talk to sponsor about these topics before continuing screening. |
| | | 8. Are you aware of the housing availability and constraints on pets, vehicles, household goods? **If No →** Member shall talk to Sponsor and Entry Approval Point about this topic before continuing. |
| | | 9. After completing Section Two (Financial Assessment), do you consider yourself financially stable for transfer overseas? **If Yes** – Continue checklist. **If No** – Explain in remarks section. |
| | | 10. Have you, your spouse, or dependent(s) been convicted for any civilian felonies or misdemeanors within the last 24 months (including pre-service time); violence, larceny, DUI, assault, etc. **If Yes →** Explain in remarks section. **If No →** Continue checklist. |
| | | 11. Have you ensured that the medical needs (prescriptions, equipment, etc.) of your family can be met at the overseas command? |
| | | 12. Have you, your spouse or dependents had any family violence incident(s) within or outside of family within the past two years? **If Yes →** Explain in remarks section. **If No →** Continue checklist. |
| | | 13. Do you or your spouse have legal custody of dependents other than those listed? **If No →** Continue checklist. **If Yes →** Explain in remarks section, including information on any special needs. |
| | | 14. Are any of the dependent's covered in a custody agreement? **If No →** Continue checklist. **If Yes →** Explain in FULL in remarks section, including information about restrictions in relocation of the dependents, and whether or not you have obtained a prior court approval or agreement from other interested parties if required by state law. |
| | | 15. Have you contacted your new command to discuss items such as housing, schools, and job opportunities for your spouse, etc? If your spouse will be seeking employment, recommend you contact your sponsor or the local work-life staff for information on the availability of employment in the area. |

*_____Check if spouse interview conducted over phone.*
*_____Check if spouse interview conducted by another command.*

## Section Two – Financial Statement

The member shall complete this section and submit it to their command. Column A is their current duty station. Column B is their expected duty station. Member should consult with either their sponsor or the Entry Approval Point for estimates where exact information is not available. Compare net income between current and expected duty station to determine the financial impact this assignment will have on your financial status.

| **Monthly Income** | **A – Current** | **B - Expected** |
|---|---|---|
| Basic Pay | | |
| Sea/Hardship Duty for Location/FSA | | |
| SDAP/Proficiency/Flight Pay | | |
| BAH/OHA | | |
| BAS | | |
| Cost of Living Allowance (COLA) | | |
| Clothing Allowance | | |
| Spouse's Income | | |
| Part Time Income | | |
| Other Income (rental, investments, etc.) | | |
| **TOTAL INCOME** | | |

| **Monthly Expenses** | **A - Current** | **B - Expected** |
|---|---|---|
| Housing (Rent or Mortgage) | | |
| Food | | |
| Clothing | | |
| Utilities (Gas, Electric, Water) | | |
| Credit Card Payments | | |
| Loan Payments | | |
| Transportation | | |
| Automobile Payments | | |
| Dependent Support/Care (i.e., child, parents) | | |
| Education | | |
| Other expenditures not listed | | |
| **TOTAL EXPENSES** | | |

| **COMPARISON** | **A – Current** | **B - Expected** |
|---|---|---|
| Total Income | | |
| -Total Expenses | | |
| =Net Income | | |

I certify that to the best of my knowledge this information is accurate and current. I have carefully considered the impact this transfer would have on my financial wellbeing.

**Signature:** _____ **Date:** _____

## MEMBER'S REMARKS

**I verify that I have answered all questions in Section One of the Overseas Screening Checklist to the best of my ability. I understand that failure to disclose any pertinent information may result in disciplinary action under the UCMJ and may result in my having to serve an unaccompanied tour. I also understand that if my dependents return INCONUS early, my tour length will not be adjusted. I further understand that I must work with the appropriate medical and/or work-life personnel to resolve any pending issues which I did not fully disclose to my screener due to privacy concerns. I acknowledge that I may not be granted entry approval until I have satisfied the Entry Approval Point that these issues have been resolved.**

**I understand that I must inform my command IMMEDIATELY if any of the information on this checklist changes prior to my departure or will change prior to reporting in at my new duty station.**

**I am aware that failure to provide any pertinent information, or providing incorrect information on this checklist may result in me not being able to receive command sponsorship and transfer overseas with my dependent(s).**

_____ _____

**Member Signature** **Date**

REMARKS: **Provide amplifying information for any items requiring explanation (use a continuation sheet if necessary):**

**Item #** **Remarks:**

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

# Section Three – Unit Review

The transferring command shall conduct a local record's check to determine if any disqualifying factors are contained in the member's record. They shall also research the following (if applicable): **Any answers checked in a shaded box require an explanation in the remarks block. The reviewer shall ensure that CGPC is informed if member enrolls in the Special Needs Program or Family Advocacy Program as a result of this screening process.**

Reviewer's Name: _____ Date: _____ Phone #: _____

| Yes | No | Item |
|---|---|---|
| | | 1. Is there any evidence of any family problems that have not been resolved? Early return of dependents, HUMS, etc. |
| | | 2. Is there any evidence of financial irresponsibility? |
| | | 3. Is the member's Government Travel Card account delinquent? |
| | | 4. Is there any history or evidence of abuse, or dependency regarding either alcohol or chemical substances? **If NO →** Continue. **If YES →** Has member successfully completed treatment and remained substance free for at least 12 months IAW 4-H-3-c? **If NO →** Explain in remarks. **If YES →** Date treatment completed: _____ |
| | | 5. Is there any evidence of unsatisfactory or marginal performance, per 4-B-1-d of PERSMAN. |
| | | 6. For single sponsors of dependents or military couples with dependents, have their annual requirements for dependent care been met per 4-A-6 of the Personnel Manual? |
| | | 7. Does the member have a record of military offenses? E. g. NJP, unauthorized absence(s), or any major offense. |
| | | 8. Are all eligible dependents enrolled in DEERS? |
| | | 9. Are all eligible dependents enrolled in Tricare/Tricare Dental Program (TDP)? |
| | | 10. Does the member have a spouse or dependent(s) with special needs, or enrolled in a special education program? **IF YES →** Ensure that a Special Needs Enrollment form has been submitted thru the local work-life staff. |
| | | 11. Is there any evidence that the member, spouse, or dependent(s) had any family violence incident(s) within or outside of family in the past two years? **If YES →** Ensure that the member has enrolled with the Work-Life Staff's Family Advocacy Rep. |
| | | 12. Has the member and dependent(s) completed all applicable medical screenings and physicals? |
| | | 13. Does the member meet the family guidelines as outlined in Article 4-H-6-b? **IF NO →** A waiver must be obtained from the Entry Approval Point? |
| | | 14. Is the member in compliance with current weight standards? |
| | | 15. For enlisted personnel assigned to duties involving flying: Upon reporting, will the member's qualification in the 9D5 Dunker have at least 36 months remaining. |
| | | 16. If the member is single, do they plan on acquiring dependents by any means (marriage, adoption, etc.) prior to reporting to their new duty station? **IF YES →** Overseas screenings must include future dependents and member shall be counseled about accompanied tour lengths. Member shall also be counseled on travel and transportation entitlements, including exactly when and how they are accrued for their new dependents. |

**Remarks:**

## Section Four – Screener's Endorsement

I have reviewed Sections One, Two and Three of the Overseas Screening Checklist with the member and their spouse. I further verify that the member consulted with medical and work-life personnel about issues they did not wish to discuss with me due to privacy concerns. I have provided the specific names and contact information for those personnel below. *Check **one** of the below:*

☐ To the best of my knowledge, I believe that this member and the spouse are fully informed about their transfer overseas and are prepared for the challenges associated with the new duty location. I recommend them for overseas transfer.

☐ To the best of my knowledge, I believe that this member and/or the spouse are not prepared for, or fully informed about their potential transfer. I recommend that they be more carefully screened by the XO or CO of the transferring command.

| _____ | _____ | _____ |
|---|---|---|
| Screeners Name & Grade | Screener's Signature | Date |

Remarks: (*Include specific contact information (names & phone numbers) for anyone consulted by the member about private issues. Include any amplifying information you believe is important for the Transferring Command or the Entry Approval Point to know when considering this member and their dependents for assignment overseas.*)

# Section Five – Medical & Command Endorsement

**Member's Name:**

**Unit/Location to Which Transferring:**

## Medical Endorsement

*Check one box:*

☐ I certify that I have reviewed the Dependent Medical Screening form for this member and his/her dependents. I certify that there are no apparent or disclosed medical reasons to delay or prohibit them from transfer to the location above. **Recommend approval**.

☐ I certify that I have reviewed the Dependent Medical Screening form for this member and his/her dependents. There are existing medical conditions or needs that can not be met at the assigned location. **Do not recommend approval**.

| **Date** | **Medical Authority Name/Grade/Signature** | **Phone Number** |
|---|---|---|

## Command Endorsement

*Check one box:*

☐ RECOMMEND APPROVAL. I have reviewed sections one thru four of the checklists for this member. I believe that this member is fully prepared for assignment overseas. I recommend the member for transfer.

☐ RECOMMEND DISAPPROVAL. I have reviewed sections one thru four of the checklist for this member. I do not believe that this member is qualified for assignment overseas, nor can they be made ready in time for this transfer. (Explain in remarks.) I do not recommend the member for transfer. (Contact CGPC.)

Commanding Officer's Signature  Date

Remarks:

## Exhibit 4.H.2. OVERSEAS SCREENING FOR ACTIVE DUTY DEPENDENTS PART I

| Family Member Name: | Relationship to Sponsor/Ben Code: | SSN: | Date: |
|---|---|---|---|

| Service Member Name: | Grade/Rate: | SSN: | Current Duty Station: |
|---|---|---|---|
| Overseas Unit A/D member is being assigned: | | | Reporting Date: |

Medical Screening: Is completed by the medical provider to identify any special needs, and determine if a family member is suitable to accompany the active duty member to an overseas unit. (Note: A physical may be required at medical provider's discretion).

| YES | NO | ITEM *(list all "YES" answers in the remarks section).* |
|---|---|---|
| | | 1. Have all health records been reviewed by local Tricare Provider? |
| | | 2. Are all Immunizations up to date. Do they meet destination requirements? |
| | | 3. Are there any pending consults or tests that have a bearing on assignment suitability? |
| | | 4. For dependent wives. (List any abnormal results in the remarks section) |
| | | a. Has a pap smear/pelvic and breast exam been performed within the past 12 months?<br>Date of Exam: _____ Results: _____ |
| | | b. Mammogram current (based on age)?<br>Date of test: _____ Results: _____ |
| | | c. Pregnancy Screening? (Verbal inquiry)<br>Date of test: _____ Results: _____ |
| | | d. If pregnant, estimated date of delivery? _____ |
| | | e. Are there any foreseen complications of the pregnancy? ( )Yes ( )No<br>If "yes" describe: _____ |
| | | 5. Are there any conditions requiring ongoing care in the following area? (List under remarks section) |
| | | a. Orthopedic conditions (e.g., chronic back, knee, joint pain or weakness) |
| | | b. Cardiovascular conditions (e.g., chest pain/angina, arrhythmia, valve disease, infarction) |
| | | c. Gynecologic conditions (e.g. chronic pelvic pain, abnormal PAP, breast mass) |
| | | d. Neurological conditions (e.g. seizure, pinched nerve, migraine, neuropathy) |
| | | e. Respiratory condition (e.g. asthma, RAD, chronic sinus, allergies) |
| | | f. Mental health, or behavioral conditions (e.g. depression, adjustment/personality disorder, ADD/ADHD) |
| | | g. Chronic or frequent medication use: (List all medications under remarks section) |
| | | h. Alcohol abuse or dependence |
| | | i. Developmental concerns (e.g., motor, cognitive, communication, social/emotional or adaptive development) |
| | | j. Other conditions or concerns? (e.g. diabetes), explain:<br>_____<br>_____ |
| | | 6. For service family members with underlying medical conditions: (List under remarks section) |
| | | a. Is there a requirement for special medical supplies, adaptive equipment, assistive technology devices, special accommodation, etc? |
| | | b. If exposed to a physically or emotionally demanding environment, could the underlying condition become life threatening, pose a risk for dangerous or disruptive behavior, or result in a MEDEVAC situation? |

## Exhibit 4.H.2.b. OVERSEAS SCREENING FOR ACTIVE DUTY DEPENDENTS PART I

| YES | NO | ITEM *(list all "YES" answers in the remarks section).* |
|---|---|---|
| | | c. Are there any chronic medical or mental health conditions requiring routine or continuing access to care or access to specialized medical care ? |
| | | d. Other concern? (specify in remarks section) |
| | | 7. Have all dental records been reviewed by the Dental Provider? |
| | | a. Are there any chronic dental conditions requiring routine or continuing access to care or access to specialized dental care? (e.g., TMJ, periodontal disease) |
| | | b. Is family member under going active orthodontics treatment?<br>Date started: _____Estimated completion date: _____ |
| | | c. Date of last Dental Exam? _____ |
| | | d. Other concern? (specify in remarks section) |

**Dental Provider Remarks:** *(Explain all "YES" answers).*

**Health Care Provider Remarks:** *(Explain all "YES" answers).*

**"THE INFORMATION CONTAINED IN THIS QUESTIONNAIRE MAY ONLY BE RELEASED IN ACCORDANCE WITH THE FREEDOM OF INFORMATION AND PRIVACY ACT"**

## Exhibit 4.H.2. OVERSEAS SCREENING FOR ACTIVE DUTY DEPENDENTS PART II (Command Endorsements)

| Family Member Name: | Relationship to Sponsor/Ben Code: | SSN: | Date: |
|---|---|---|---|

| Service Member Name: | Grade/Rate: | SSN: | Current Duty Station: |
|---|---|---|---|
| Overseas Unit A/D member is being assigned: | | | Reporting Date: |

Medical Provider Comments:

| Medical Provider Name: (print) | Medical Provider/Screener Signature: | Date: |
|---|---|---|
| MTF/PCM Name: | Address: | Phone Number: |

**Dental Provider Comments:**

| **Dental Provider Name:** | **Dental Provider/Screener Signature:** | **Date:** |
|---|---|---|
| **MTF/PCM Name:** | **Address:** | **Phone Number:** |

**Receiving Command:**

1. Can the (MTF/PCM) provide current required medical/dental support? ( ) Yes ( ) No
   If "NO" list reason why: _____
   _____
   _____
2. Can the (MTF/PCM) provide required medical/dental support (diagnostic, therapeutic and medications) if the underlying condition is exacerbated? ( ) Yes ( ) No
   If "NO" list reason why: _____
   _____
   _____
   _____

**Receiving Command Endorsement:**

(A copy of this questionnaire must be returned to originating unit prior to orders being executed) Article 4-H-2-3.e.)

( ) Family member is approved to accompany active duty member to this unit.

( ) Family member is not approved to accompany active duty member to this unit.
List reason why: _____
_____
_____
_____
_____

| **Medical Officer/Health Care Provider Name:** | **Signature:** | **Date:** |
|---|---|---|
| Receiving Command Name: | **Address:** | Phone: |

**"THE INFORMATION CONTAINED IN THIS QUESTIONNAIRE MAY ONLY BE RELEASED IN ACCORDANCE WITH THE FREEDOM OF INFORMATION AND PRIVACY ACT"**

**Exhibit 4.H.2. INSTRUCTION FOR COMPLETION OF OVERSEAS SCREENING FOR ACTIVE DUTY DEPENDENTS**

**Purpose: The information contained in this is gathered for the purpose of determining the dependent's suitability for overseas assignment and to ascertain whether competent medical care is reasonably available at the overseas location for any preexisting conditions.**

**<u>Instructions for Releasing Command:</u>**

**This screening form is comprised of two parts:**

**PART ONE - Overseas Screening for Active Duty Dependents. This form will be completed by the dependent's Primary Health Care provider. Dependents who are enrolled in TRICARE should contact their provider in order to complete the screening as soon as possible. The following procedure will be followed in order to ascertain the dependents' suitability for overseas transfer and to protect patient health information.**

1. **Upon notification of pending transfer to an OCONUS duty station, dependents of active duty military members will schedule an appointment with their Primary Health Care provider. The unit will provide the member/dependent with a copy of the "Overseas Screening for Active Duty Dependents: form and 2 copies of the DD Form 2870 "Authorization for Disclosure of Medical or Dental Information to take to the provider.**

2. **If the provider is not a military treatment facility, the provider will complete the screening in accordance with the Route Physical Examinations procedures of the TRICARE Policy Manual 6010.54-M, August 1, 2002. Upon completion of the screening, the provider will either fax or mail the entire package to the medical representatives listed in Blocks 6a and 6b of DD Form 2870.**

**PART TWO – Command Endorsement:**

1. **Upon receipt of the completed screening form, the designated medical representative will review the form for completeness and coordinate delivery of the form to the receiving command's medical representative. In the event amplifying information is needed regarding the dependents' medical status, these will addressed solely and directly between medical facilities.**

2. **The receiving command's medical representative will review the screening form and make a determination whether the dependent is considered qualified to accompany the member overseas. Part Two will be returned to the releasing command to serve as notification of dependent's status in regard to eligibility to accompany the member overseas.**

## AUTHORIZATION FOR DISCLOSURE OF MEDICAL OR DENTAL INFORMATION

### PRIVACY ACT STATEMENT

In accordance with the Privacy Act of 1974 (Public Law 93-579), the notice informs you of the purpose of the form and how it will be used. Please read it carefully.
**AUTHORITY:** Public Law 104-191; E.O. 9397 (SSAN); DoD 6025.18-R.
**PRINCIPAL PURPOSE(S):** This form is to provide the Military Treatment Facility/Dental Treatment Facility/TRICARE Health Plan with a means to request the use and/or disclosure of an individual's protected health information.
**ROUTINE USE(S):** To any third party or the individual upon authorization for the disclosure from the individual for: personal use; insurance; continued medical care; school; legal; retirement/separation; or other reasons.
**DISCLOSURE:** Voluntary. Failure to sign the authorization form will result in the non-release of the protected health information.
This form will not be used for the authorization to disclose alcohol or drug abuse patient information from medical records or for authorization to disclose information from records of an alcohol or drug abuse treatment program. In addition, any use as an authorization to use or disclose psychotherapy notes may not be combined with another authorization except one to use or disclose psychotherapy notes.

### SECTION I - PATIENT DATA

| 1. NAME *(Last, First, Middle Initial)* | 2. DATE OF BIRTH *(YYYYMMDD)* | 3. SOCIAL SECURITY NUMBER |
|---|---|---|
| 4. PERIOD OF TREATMENT: FROM - TO *(YYYYMMDD)* | 5. TYPE OF TREATMENT *(X one)* ☐ OUTPATIENT ☐ INPATIENT ☐ BOTH | |

### SECTION II - DISCLOSURE

6. I AUTHORIZE _____ TO RELEASE MY PATIENT INFORMATION TO:
*(Name of Facility/TRICARE Health Plan)*

| a. NAME OF PHYSICIAN, FACILITY, OR TRICARE HEALTH PLAN | b. ADDRESS *(Street, City, State and ZIP Code)* |
|---|---|
| c. TELEPHONE *(Include Area Code)* | d. FAX *(Include Area Code)* |

7. REASON FOR REQUEST/USE OF MEDICAL INFORMATION *(X as applicable)*
☐ PERSONAL USE ☐ CONTINUED MEDICAL CARE ☐ SCHOOL ☐ OTHER *(Specify)*
☐ INSURANCE ☐ RETIREMENT/SEPARATION ☐ LEGAL

8. INFORMATION TO BE RELEASED

| 9. AUTHORIZATION START DATE *(YYYYMMDD)* | 10. AUTHORIZATION EXPIRATION ☐ DATE *(YYYYMMDD)* ☐ ACTION COMPLETED |
|---|---|

### SECTION III - RELEASE AUTHORIZATION

I understand that:
a. I have the right to revoke this authorization at any time. My revocation must be in writing and provided to the facility where my medical records are kept or to the TMA Privacy Officer if this is an authorization for information possessed by the TRICARE Health Plan rather than an MTF or DTF. I am aware that if I later revoke this authorization, the person(s) I herein name will have used and/or disclosed my protected information on the basis of this authorization.
b. If I authorize my protected health information to be disclosed to someone who is not required to comply with federal privacy protection regulations, then such information may be re-disclosed and would no longer be protected.
c. I have a right to inspect and receive a copy of my own protected health information to be used or disclosed, in accordance with the requirements of the federal privacy protection regulations found in the Privacy Act and 45 CFR §164.524.
d. The Military Health System (which includes the TRICARE Health Plan) may not condition treatment in MTFs/DTFs, payment by the TRICARE Health Plan, enrollment in the TRICARE Health Plan or eligibility for TRICARE Health Plan benefits on failure to obtain this authorization.
I request and authorize the named provider/treatment facility/TRICARE Health Plan to release the information described above to the named individual/organization indicated.

| 11. SIGNATURE OF PATIENT/PARENT/LEGAL REPRESENTATIVE | 12. RELATIONSHIP TO PATIENT *(If applicable)* | 13. DATE *(YYYYMMDD)* |
|---|---|---|

### SECTION IV - FOR STAFF USE ONLY *(To be completed only upon receipt of written revocation)*

| 14. X IF APPLICABLE: ☐ AUTHORIZATION REVOKED | 15. REVOCATION COMPLETED BY | 16. DATE *(YYYYMMDD)* |
|---|---|---|
| 17. IMPRINT OF PATIENT IDENTIFICATION PLATE WHEN AVAILABLE | SPONSOR NAME:<br>SPONSOR RANK:<br>FMP/SPONSOR SSN:<br>BRANCH OF SERVICE:<br>PHONE NUMBER: | |

DD FORM 2870, DEC 2003

## GUIDANCE FOR COMPLETION OF DD Form 2870

**Two copies of this document will be completed. Both documents will contain the same information with the exception of Blocks 6a and 6b.**

**Copy 1: Blocks 6a and 6b will include the name of the current Coast Guard Healthcare Representative (i.e. CG Clinic).**

**Copy 2: Blocks 6a and 6b will include the name of the receiving command Coast Guard Healthcare Representative. (e.g. for CGC NAUSHON, the receiving clinic would be Ketchikan).**

**Section I Patient Data**

**Block 1. Self explanatory**
**2. Self explanatory**
**3. Self explanatory**
**4. Enter date of physical and any follow up care dates (inclusive).**
**5. Treatment type: Outpatient**

**Section II Disclosure**

**Block 6. Enter the name of the facility where the physical is being conducted**
**6a. Complete as described above.**
**6b. Complete as described above.**
**6c. Unit telephone number.**
**6d. Unit fax number.**
**7. Reason for request: OTHER: Physical Assessment/Overseas Screening.**
**8. Information to be release: All medical/dental information required to ensure dependent meets physical requirements for overseas assignment.**
**9. Start date: Date of appointment.**
**10. Expiration date should be the reporting date on the member's orders.**

**Section III Release Authorization**

**Block 11. Patient signature or guardian if dependent is a minor.**
**12. Self explanatory.**
**13. Self explanatory.**

**Section IV For Medical Staff Use Only.**

# Entry Approval Points

| Entry Approval Point | Units/Location |
|---|---|
| AIRSTA Sitka | Air Station Sitka |
| ISC Kodiak | Kodiak / Attu / St Paul / Port Clarence / Unalaska / AVSUPFAC Cordova |
| ISC Ketchikan | All other Alaska Units/Locations |
| Sector San Juan | Puerto Rico / Virgin Islands / Caribbean |
| CGD Fourteen | D14 Staff / CGIS Det Hono / CEU Hono |
| Sector Honolulu | Sector Hono / WPBs / MSDs / ANT Hono / STA Hono / MSD Am. Samoa |
| AIRSTA Barbers Point | AIRSTA Barbers Point |
| ISC Honolulu | All other Hawaii Units / American Samoa |
| Sector Guam | Guam / Saipan |
| ACTEUR | Europe (Except Sweden) |
| PATFORSWA | PATFORSWA |
| PERSUPDET Yokosuka (INFO CG FEACT) | Japan / Singapore |
| Sector Miami | Cuba |
| USDAO STOCKHOLM (INFO ACTEUR) | Sweden |

2. If the Senate does not consent to appoint an officer whose name is on a list of selectees established under Article 5.A.4.g., that officer's name shall be removed from this list.

3. An officer whose name is removed from a list under these subparagraphs remains eligible for consideration for promotion. If promoted as a result of selection by the next selection board, he or she holds the date of rank and position on the ADPL in the grade to which promoted which he she would have held if his or her name had not been removed. However, if the next selection board does not select the officer or if his or her name again is removed from the list of selectees, the officer shall be considered for all purposes as having twice failed of selection for promotion (14 U.S.C. 272).

4. The name of an officer who declines a promotion shall be removed from the list of selectees, as provided in paragraph 3.

## 5.A.5. Selecting and Promoting Ensigns to Lieutenant (Junior Grade)

### 5.A.5.a. Eligibility for Promotion

An ensign on the ADPL is eligible for promotion to lieutenant (junior grade) after:

1. Completing 12 months of active service as defined in 10 U.S.C. 101, computed from date of rank as an ensign on the ADPL;

2. A board recommends him or her as fully qualified for promotion; and

3. The Commandant has approved the board's recommendation.

### 5.A.5.b. Selection Boards

Selection boards to recommend ensigns for promotion to lieutenant (junior grade) shall be convened as Chapter 14.A. describes.

### 5.A.5.c. Communicating with the Selection Board

Each officer eligible for consideration by a selection board may communicate directly with the board in the same manner as Article 5.A.4.e. prescribes.

### 5.A.5.d. Failure of Selection for Promotion

1. Out of Line of Promotion. Ensigns whom a board does not recommend and whose commissions are not revoked under subparagraph 2. below shall be placed out of the line of promotion for at least nine months, beginning on the date the board report which did not recommend them for promotion is approved. The out-of-line period provides these officers with the opportunity to improve their performance before a second board considers them for promotion.

2. Finding of Unsatisfactory in Grade. In accordance with 14 U.S.C. 214(c) or 14 U.S.C. 281, as applicable, the Commandant **may** revoke the commissions or vacate the temporary appointments of ensigns who, in their first **five** years of commissioned service, fail of selection for promotion to lieutenant (junior grade) and whom the selection board determines are performing unsatisfactorily in grade, irrespective of Articles 12.A.9. and 12.A.11.

3. Consideration by Second Board. A second board convened as described in Article 14.A. shall consider an ensign placed out of line of promotion.

4. Failure of Selection by Second Board. If a second board finds an ensign is not fully qualified, the Commandant will revoke his or her Regular or Reserve commission or vacate his or her temporary appointment irrespective of Articles 12.A.9 and 12.A.11.

### 5.A.5.e. Non-Consideration Due to Administrative Error

An ensign does not fail of selection for promotion if a board does not consider him or her because of administrative error. If the next succeeding board considering ensigns for promotion recommends that ensign for promotion, he or she holds the date of rank and position on the ADPL as a lieutenant (junior grade) which he or she would have held had the first board recommended him or her.

### 5.A.5.f. Promotion

1. After Selection by First Board. An ensign eligible for promotion may be promoted to lieutenant (junior grade) without regard to vacancies on the day after he or she completes 18 months of active service.

2. After Selection by Second Board. The board shall place ensigns found fully qualified for promotion at the top of the new list in order of existing seniority. They shall be tendered appointment to lieutenant (junior grade) without regard to vacancies on the day the board report is approved, as long as they have completed 18 months of active commissioned service. An ensign whose record only appeared before a second board due to an administrative error will be assigned a date of rank based upon time in grade and prior seniority in the register of officers. Such an ensign will not be considered the “most senior ensign on the approved list of selectees” for the purpose of ranking others in precedence order.

## CONTENTS

***5.C. ENLISTED PERSONNEL*** ***5***

**5.C.1 GENERAL** **5**
5.C.1.a. Objective 5
5.C.1.b. Applicability 5

**5.C.2 ADVANCEMENT FROM E-1 THROUGH E-4** **5**
5.C.2.a. Methods of Advancement from E-1 through E-4 5

**5.C.3 SERVICEWIDE COMPETITION** **6**
5.C.3.a. E-5 Through E-9 Advancements Through Servicewide Competition 6
5.C.3.b. Advancement 6
5.C.3.c. Examinations 7
5.C.3.d. Other Methods of Advancement to E-5 Through E-9 7

**5.C.4 RESPONSIBILITIES** **8**
5.C.4.a. The Individual 8
5.C.4.b. Eligibility Requirements 8
5.C.4.c. Coast Guard Personnel Command (CGPC) 9
5.C.4.d. Area/MLC/District Commanders 9
5.C.4.e. Commanding Officers/**Officers in Charge** 9
5.C.4.f. Personnel Service Center (PSC) 11
5.C.4.g. Waiver of Eligibility Requirements 11

**5.C.5 ADDITIONAL ELIGIBILITY REQUIREMENTS FOR PERSONNEL COMPETING IN E-7, E-8, OR E-9 EXAMINATIONS** **12**
5.C.5.a. General 12
5.C.5.b. Eligibility for Participation in Competition for Advancement to Pay Grade E-7 12
5.C.5.c. Eligibility for Participation in Competition for Advancement to Pay Grade E-8 13
5.C.5.d. Eligibility for Participation in Competition for Advancement to Pay Grade E-9 13

**5.C.6 EVALUATION MARKS** **14**
5.C.6.a. Minimum Requirements 14
5.C.6.b. Performance Factor 14
5.C.6.c. SWE Enlisted Employee Review 15
5.C.6.d. Broken Service 15
5.C.6.e. Advanced Training 15

**5.C.7 PERFORMANCE QUALIFICATIONS AND MILITARY REQUIREMENTS** **16**
5.C.7.a. Enlisted Performance Qualifications (EPQs) 16
5.C.7.b. Military Requirements 17

**5.C.8 CORRESPONDENCE COURSES** **17**
5.C.8.a. General 17
5.C.8.b. Mandatory **Rate Training** Courses 18
5.C.8.c. Revision of **Rate Training** Courses 18
5.C.8.d. Date of Completion of **Rate Training** Course 18
5.C.8.e. Waiver of Completion of a Correspondence Course or Class "A" Course 18
5.C.8.f. Personnel Data Record Entries 19
**5.C.8.g. Testing Policy** 19

**5.C.9 REQUIRED SERVICE COURSES** **20**

**5.C.10 CITIZENSHIP OR SECURITY CLEARANCE REQUIREMENT FOR ADVANCEMENT IN CERTAIN RATINGS 20**
5.C.10.a. General 20
5.C.10.b. Ratings Requiring Access to Classified Information 20
5.C.10.c. Rates and Ratings Generally Not Requiring Access to Classified Information 21
5.C.10.d. Advancement of Aliens 21
5.C.10.e. Information Regarding All Personnel in "Classified" Ratings Who Are No Longer Eligible for Security Clearance 22

**5.C.11 PATH OF ADVANCEMENT 23**
5.C.11.a. Next Higher Pay Grade 23
5.C.11.b. Enlisted Rating Structure 23
5.C.11.c. Personnel Assigned Designators 23
5.C.11.d. Change in Rating 24
5.C.11.e. Headquarters Announced Deviation to Path of Advancement 24
5.C.11.f. Examination of Personnel Under Instruction in Service Schools 24

**5.C.12 SPECIAL REQUIREMENT FOR CERTAIN RATINGS 25**
5.C.12.a. Ratings Requiring Normal Color Perception and/or Normal Hearing 25

**5.C.13. CIRCUMSTANCES WHICH MAY RENDER PERSONNEL INELIGIBLE FOR ADVANCEMENT 26**
5.C.13.a. Eligibility Requirement Waivers 26
5.C.13.b. Disciplinary Status 26
5.C.13.c. Confinement 26
5.C.13.d. Personnel Selected for Chief Warrant Officer (CWO) Appointment 26
5.C.13.e. Disabled Personnel 27
5.C.13.f. Personnel with Approved Requests for Retirement 27
5.C.13.g. Personnel Who Cancel Requests for Retirement 27

**5.C.14 SERVICE REQUIREMENTS AND DETERMINATION OF SERVICE 28**
5.C.14.a. Service Requirements 28
5.C.14.b. Determination of Service 28

**5.C.15 SEA/SURF DUTY FOR ADVANCEMENT 31**
5.C.15.a. Minimum Sea/**Surf** Duty 31
5.C.15.b. Sea Duty for Advancement 31
5.C.15.c. Minimum Sea Duty for Those Entering Designated Ratings Prior to 01 February 1994 32
5.C.15.d. Minimum Sea Duty for Those Entering Designated Ratings on or After 01 February 1994 32
5.C.15.e. Excluded Ratings 33
5.C.15.f. Sea Duty Requirement for Change in Rating 33

**5.C.16 SEA/SURF DUTY POINTS FOR SWE COMPETITION 33**

**5.C.17 VACANT 34**

**5.C.18 VERIFICATION OF ELIGIBILITY 34**

**5.C.19 REQUEST FOR PERSONNEL DATA RECORD (PDR) INFORMATION 34**

**5.C.20 THROUGH 5.C.24 VACANT 34**

**5.C.25 GENERAL PROVISIONS FOR ADVANCEMENT 34**
5.C.25.a. More than One Grade 34
5.C.25.b. Unfit for Duty 34

5.C.25.c. Withholding Advancements 34
5.C.25.d. Cancellation of Advancement 35
5.C.25.e. Obligated Service Requirement 36
5.C.25.f. Personnel Who Decline Promotion or Voluntarily Elect to be Removed from an Eligibility List 36

**5.C.26 AUTHORITY FOR ADVANCEMENT IN RATE 36**
5.C.26.a. Pay Grade E-4 Through E-9 36
5.C.26.b. Pay Grades E-1 Through E-3 37
5.C.26.c. Election for Advancement to E-4 or Assignment to Class "A" School 38

**5.C.27 ADVANCEMENT WITHIN ENLISTED STATUS WHILE SERVING AS A TEMPORARY COMMISSIONED OFFICER 38**
5.C.27.a. Commanding Officer Recommendations 38
5.C.27.b. Temporary Commissioned Officers 39

**5.C.28 EFFECTIVE DATE OF ADVANCEMENT 39**
5.C.28.a. Effective Date of Advancement 39
5.C.28.b. Notification 39
5.C.28.c. Retroactive Advancements 39

**5.C.29 DESIGNATORS 39**
5.C.29.a. General 39
5.C.29.b. Assignment of Designators 40
5.C.29.c. Removal of Designators 40
5.C.29.d. Identification of Designated Personnel 41

**5.C.30 AUTHORITY FOR CHANGE IN RATING 41**
5.C.30.a. Pay Grade E-4 and Above 41
5.C.30.b. Pay Grades E-2 Through E-3 42
5.C.30.c. Change in Rating in the Best Interest of the Service 42

**5.C.31 ELIGIBILITY LIST FOR ADVANCEMENT OR CHANGE IN RATING TO PAY GRADES E-4 THROUGH E-9 42**
5.C.31.a. Preparation of the Eligibility List 42
5.C.31.b. Cutoff Points 42
5.C.31.c. Effective Period of Eligibility List 43
5.C.31.d. Supplemental Changes to Eligibility List 43
5.C.31.e. Advancement Announcement 43
5.C.31.f. Removal From Eligibility List 43
5.C.31.g. Members Selected for Chief Warrant Officer 43

**5.C.32 COMMANDING OFFICER'S ACTION ON RECEIPT OF ELIGIBILITY LISTS 44**
5.C.32.a. Assign Designators for Nonrated Personnel 44
5.C.32.b. Designators for Change in Rating 44

**5.C.33 ADVANCEMENT AFTER REDUCTION 44**
5.C.33.a. Advancement for Prior Coast Guard Active Duty Personnel 44
5.C.33.b. After Reduction as Punishment 44
5.C.33.c. After Reduction for Incompetence 45
5.C.33.d. After Voluntary Reduction 45

**5.C.34 PERSONNEL DATA RECORD ENTRIES 45**

**5.C.35 MASTER, SENIOR, CHIEF, AND PETTY OFFICER CERTIFICATES 46**
5.C.35.a. Procedures 46
5.C.35.b. Procuring Petty Officer Appointment Certificates 46

5.C.35.c. Issuing Petty Officer Appointment Certificates 46
5.C.35.d. Chief Petty Officer Appointment Certificates 46
5.C.35.e. Appointment Certificate after Reduction 46
5.C.35.f. Disposition of Petty Officer Certificates 47

**5.C.36 AND 5.C.37 VACANT 47**

**5.C.38 REDUCTION IN RATE 47**
5.C.38.a. General Provisions 47
5.C.38.b. Reduction in Rate as a Punishment 47
5.C.38.c. Reduction for Incompetence 48
5.C.38.d. Reduction in Rate Upon Request of the Individual 49
5.C.38.e. Erroneous Advancement 50
5.C.38.f. Effective Date of Reduction in Rate 50
5.C.38.g. Personnel Data Record Entries on Reduction in Rate 50

**5.C.39 FROCKING OF ENLISTED PERSONNEL 51**
5.C.39.a. Commandant Authority 51
5.C.39.b. Request Submission 51
5.C.39.c. Authorization 51
5.C.39.d. Authorization to Frock to Chief Warrant Officer 51
5.C.39.e. Entitlements 51

**5.C.40 Authorization to Frock to Chief Warrant Officer 52**
5.C.40.a. Conditions for frocking 52
5.C.40.b. Request Submission 52
5.C.40.c. Entitlements 52

# 5.C. Enlisted Personnel

## 5.C.1. General

### 5.C.1.a. Objective

The objective of the enlisted advancement system is to ensure the required degree of proficiency at the various grade levels within each specialty and promote those best qualified to fill vacancies which occur.

### 5.C.1.b. Applicability

This section is applicable to the advancement of:

1. All active duty enlisted personnel and Coast Guard reservists on extended active duty.

2. Temporary commissioned officers on active duty whose permanent status is enlisted. Article 5.C.27.

## 5.C.2. Advancement from E-1 through E-4

### 5.C.2.a. Methods of Advancement from E-1 through E-4

Personnel may be advanced from E-1 through E-4:

1. By special authority of the Commandant.

2. By their commanding officer (applicable for advancement from E-1 to E-2 and E-2 to E-3 and advancement to pay grade E-4 of Class "A" School graduates).

3. Under the special provision of Article 5.C.33.a. for qualified prior Coast Guard active duty and reserve personnel.

4. By successful completion of a Striker Program for ratings of BM, DC, EM, FS, MK, SK, YN and PS (applicable for advancement from E-3 to E-4). Article 5.E.1.

## 5.C.3. Servicewide Competition

### 5.C.3.a. E-5 Through E-9 Advancements Through Servicewide Competition

Except as noted in subparagraph **d.** below, advancement in these pay grades is accomplished through taking a Servicewide Examination (SWE) following the schedule listed below which will be followed without regard to anticipated vacancies:

| | |
|---|---|
| E-7 through E-9 | May |
| E-5 and E-6 | May and November |
| **Reserve (all rates)** | **October** |

1. While it cannot be guaranteed that any one person will be advanced, the SWE ensures a fair and an impartial opportunity for advancement and a guarantee that all enlisted personnel of a particular rating shall have an equal advancement opportunity.

2. A cutoff point is established for each rating and rate based upon vacancies anticipated at the time the eligibility list is compiled. Personnel who are below the cutoff point should plan on participating in subsequent SWEs in order to maintain eligibility.

### 5.C.3.b. Advancement

Advancement is based on the member's final multiple which is composed of the following factors:

| Factor | Maximum Credit | How Computed |
|---|---|---|
| Examination Score | 80 | Examination Standard Score |
| Performance factor | 50 | See paragraph (semiannual marks) (1) below. |
| Time in Service (TIS) | 20 | Total month TIS - 12. 1 point credit per year. Maximum credit is given for 20 years. |
| Time in pay grade in present rating | 10 | See paragraph (TIR) (2) below |
| Medals and Awards | 10 | See paragraph (3) below. |
| Combination of Sea/Surf Duty | 30 | Credit given IAW Article 5.C.16. |
| Total: | 200 | |

1. Personnel Service Center (PSC) will publish the elements that go into a member's final multiple twice during the Servicewide Cycle (SWE). The first time is on the member's Personnel Data Extract (PDE) which is when the member must take corrective action if it's incorrect. The second time is on the member's Profile Form, if the member took the SWE, which shows all points creditable and the final multiple.

2. Time in Rate (TIR) is now credited at one point for each six months (two points per year) for a maximum of five years. The TIR is capped after five years at ten points.

3. Awards must be approved by 01 February preceding the May SWE and 01 August preceding the November SWE**,** and by **01 July** for the Reserve October SWE. Award point(s) for SWE multiple are listed below:

| **Award** | **Point Credit** |
|---|---|
| Medal of Honor | 10 |
| Gold Lifesaving Medal and those military awards having a higher precedence | 6 |
| Bronze Star Medal | 5 |
| Purple Heart Medal | 4 |
| Meritorious Service Medal | 4 |
| Air Medal | 4 |
| Silver Lifesaving Medal | 4 |
| Commendation Medal from any U.S Armed Forces | 3 |
| Achievement Medal from any U. S. Armed Forces | 2 |
| Combat Action Ribbon | 1 |
| Commandant's Letter of Commendation Ribbon | 1 |
| CG Good Conduct Medal | 1 |
| CG Reserve Good Conduct Medal | 1 |

NOTE: Other Services' Good Conduct Awards are not creditable for points.

### 5.C.3.c. Examinations

Examinations are developed by Subject Matter Specialists at Coast Guard Training Centers for pay grades E-5 through E-9 in all Coast Guard ratings. **Questions that make up the Enlisted Professional Education (EPME) Advancement Qualification Exams (AQE) and Rating End of Course Tests (EOCT) are developed from course content. SWE questions are a combination of EPME AQE and Rating EOCT questions up to, and including, the rate level for which the SWE competition is intended.**

### 5.C.3.d. Other Methods of Advancement to E-5 Through E-9

Personnel may be advanced to E-5 through E-9 without participation in SWE competition by special authority of the Commandant.

## 5.C.4. Responsibilities

### 5.C.4.a. The Individual

It is each individual's responsibility to ensure their eligibility in all respects for the SWE. The key to doing so is by verifying and signing the Personnel Data Extract, CG-4902, received prior to the SWE date. By signing the CG-4902, members state all changes noted or information on the form are current and correct and no further corrections are necessary. If through administrative error, a member is deprived of the opportunity to compete in the scheduled SWE, a substitute examination may be requested from PSC.

### 5.C.4.b. Eligibility Requirements

1. Each **active duty** member must complete and meet the eligibility requirements listed below by 01 February before the May SWE or 01 August before the November SWE. **Reservists must complete and meet the eligibility requirements listed below by 01 July before the October RSWE competition. Refer to Reserve Policy Manual, COMDTINST M1001.28 (series) for specific requirements for reservists.**

   a. Complete required **Enlisted Performance Qualifications (EPQ) and enlisted Professional Military Education requirements (EPME).** Article 5.C.7.

   b. Complete required **Performance Qualification Guide (PQG) rate training courses.** Article 5.C.8.

   c. Successfully complete service course, if required, for particular pay grade or rating. Article 5.C.9.

   d. Meet citizenship or security clearance requirements for advancement in certain rates or ratings. Article 5.C.10.

   e. Be in proper path of advancement. Article 5.C.11.

   f. Fulfill special requirements for certain ratings. Article 5.C.12.

   g. Not be involved in circumstances which render him or her ineligible for advancement. Article 5.C.13.

   h. Fulfill special requirements; time in service, time in pay grade in present rating, and sea duty. Article 5.C.14 and 5.C.15.

i. Fulfill additional eligibility requirements for personnel competing in the E- 7/8/9 examination. Article 5.C.5.

j. Maintain the minimum factor average on his or her last evaluation. Article 5.C.6.

k. Be a graduate of a military recruit training center for advancement to E-2. Article 5.C.26.

2. Be recommended by the **CO/OIC** (Article 5.C.4.e). Commanding officers shall ensure an Enlisted Employee Review (EER) counseling sheet in Direct Access is prepared when a member otherwise eligible for advancement is assigned a mark of "Not Recommended" **because of adverse circumstances.**

3. Meet time in service and time in pay grade in present rating requirements on or before the terminal eligibility date of 01 January after the May SWE or 01 July after the November SWE.

4. Waiver of the 01 February and 01 August deadlines is authorized for members currently assigned PCS or under PCS orders to a sea time eligible unit who will meet the minimum sea time requirement for advancement prior to 01 January following the May SWE or 01 July following the November SWE.

### 5.C.4.c. Coast Guard Personnel Command (CGPC)

Under the general direction and supervision of designated superiors, Commander (CGPC) administers those elements of the program for enlisted personnel, including advancement, as outlined in the Coast Guard Organization Manual, COMDTINST M5400.7 (series).

### 5.C.4.d. Area/MLC/District Commanders

Area/MLC/District commanders are responsible for monitoring the administrative procedures of subordinate commands to ensure compliance with requirements contained in this chapter, and Article 5.D. Normal administrative inspections provide a suitable means for accomplishing this.

### 5.C.4.e. Commanding Officers/Officers in Charge

Individual Coast Guard **CO/OICs** are responsible for execution of the advancement program. Failure to properly discharge this responsibility reflects adversely on command performance. **CO/OICs** are responsible for the timely evaluation of assigned personnel, submitting recommendations, and coordinating with examining boards as necessary to ensure that every eligible and recommended candidate for advancement has an opportunity to compete. The following subparagraphs briefly

outline these responsibilities' various elements, which are fully amplified elsewhere in this Chapter and Article 5.D.

1. Informing Personnel of Advancement Requirements. The Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (**s**eries), details qualifications for advancement for all rates **and ratings**.

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

3. Self-Study and On-the-Job Training. It is essential to make these two training publications available to enlisted personnel early as they prepare for advancement.

   a. Coast Guard Institute ESO Procedures Guides Volume II of the ESO Procedures Guides contain a list of Coast Guard correspondence courses available to enlisted personnel. This can be accessed through the following website: http:www.uscg.mil/hq/cgi/esoguides.html.

   b. List of Training Manuals and Correspondence Courses, NAVEDTRA 10061. This publication lists the naval training courses and correspondence courses available to enlisted personnel.

4. Advancement Recommendation. The **CO/OICs** recommendation for advancement is the most important eligibility requirement in the Coast Guard advancement system. A recommendation for advancement shall be based on the individual's qualities of leadership, personal integrity, adherence to core values, and his or her potential to perform in the next higher pay grade. Although minimum performance factors have been prescribed to maintain overall consistency for participation in SWE, the commanding officer shall be personally satisfied that the member's overall performance in each factor has been sufficiently strong to earn the recommendation.

   **Note:** The commanding officer's recommendation for advancement or change in rating by participation in the SWE is valid only for a specific competition and must be renewed for each succeeding competition.

5. Personnel Data Record Entries.

a. Recommendation for Advancement or Change in Rating. A copy of the Personnel Data Extract, CG-4902, shall be filed in the unit file and retained until the next SWE for the member's pay grade.

b. Withdrawal of Recommendation. Withdrawal of advancement recommendation should be considered for members who receive an unsatisfactory conduct mark, NJP punishment, a court-martial conviction, or a civil conviction. When applicable, notify Personnel Service Center (adv/eval), to invalidate the recommendation for advancement of the candidate.

6. Security of Examinations. This most important phase is the responsibility of each echelon of command. Chapter 5.D provides detailed procedures necessary for safeguarding Servicewide examinations.

7. Appointment and Supervision of Local Examining Boards. Commanding officers shall appoint and provide supervision in accordance with Chapter 5.D and such other regulations that may be issued by senior commands.

8. Educational Services Officers. Commanding officers will appoint an Educational Services Officer who is to provide assistance to each member of the command who desires to qualify for advancement in rate or change in rating, and encourage the timely completion of the appropriate Coast Guard Institute **rate training correspondence course or Performance Qualification Guide (PQG).**

9. Effecting Advancements. Upon notification through the **Enlisted Personnel Advancement Announcement (EPAA)** from Commander (CGPC), commanding officers shall advance those personnel listed, or advise PSC (adv) to withhold their advancement or remove them from the eligibility list, with an information copy to Commander (CGPC-epm-1), Article 5.C.26.

### 5.C.4.f. Personnel Service Center

The Commanding Officer, Coast Guard Personnel Service Center (PSC) is the single point of contact for all SWE inquiries, corrections, and waivers; and is responsible for the preparation, printing, distribution, accountability, and scoring of the Servicewide examinations. Following the scoring process, the commanding officer is responsible for preparation, and distribution of the advancement eligibility lists as approved by Commander (CGPC).

### 5.C.4.g. Waiver of Eligibility Requirements

PSC(adv) is the single point of contact for all request for waivers of advancement requirements and deadlines. The SWE cycle process requires all responsible parties to do their part to ensure success. Failure by a member, supervisor or supporting command to fulfill their responsibilities is not justification for a waiver and may result in the member not qualifying to test. Waivers should be requested only if unusual circumstances, last minute operational schedule changes, etc., result in the member being ineligible through no fault of the member. Prior to submitting a waiver, the command must ensure that the member, unit and/or SPO did everything

that can be reasonably expected to ensure eligibility prior to the deadline for eligibility.

## 5.C.5 Additional Eligibility Requirements for Personnel Competing in E-7, E-8, or E-9 Examinations

### 5.C.5.a. General

Individuals recommended for advancement to senior chief petty officer and master chief petty officer must be superior in leadership, military characteristics, technical knowledge, and performance of duty. They must be professionally qualified to fill any chief petty officer billet of their rating. Recommendations for participation in the senior and master chief petty officer competition should not be initiated solely on the request of the individual.

### 5.C.5.b. Eligibility for Participation in Competition for Advancement to Pay Grade E-7

1. Be serving in enlisted status on active duty in pay grade E-6, in the rating for which recommended for advancement.

2. Have served on continuous active duty in the Coast Guard in pay grade E-6 during the entire two years immediately preceding the terminal eligibility date.

3. For 24 months prior to the terminal eligibility date (01 January following the May exam), and for the entire period from recommendation to advancement, have no unsatisfactory conduct mark, court martial (CM) or civil convictions, or non-judicial punishments (NJP). If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in Article 10.B.9, begins on the day following the effective date of the Enlisted Employee Review. After the individual has been recommended for advancement, but has not been advanced, Commanding officers will submit a message to PSC (adv), with Commander (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in Article 10.B.9.

### 5.C.5.c. Eligibility for Participation in Competition for Advancement to Pay Grade E-8

1. Be serving in enlisted status on active duty in pay grade E-7, in the rating for which recommended for advancement.

2. Have served on continuous active duty in the Coast Guard in pay grade E-7 during the entire two years immediately preceding the terminal eligibility date.

3. Have a total of at least ten years active service.

4. For 24 months before the terminal eligibility date (01 January following the May exam) and the entire period from recommendation to advancement, have no unsatisfactory conduct mark, court-martial (CM) or civil convictions, or NJP punishments. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts on the day following the conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in Article 10.B.9., begins on the day following the effective date of the Enlisted Employee Review. After the individual has been recommended for advancement, but has not been advanced, Commanding officers will submit a message to PSC (adv), with Commander (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in Article 10.B.9.

5. To participate in the BMCS servicewide examination, the member must currently be certified to command afloat and ashore by the Officer in Charge Review Board, or be a certified surfman serving in a surfman billet and certified to command ashore by the Officer in Charge Review Board. E-7 surfman not in a surfman billet must complete all applicable requirements as E-7 non-surfmen for advancement to BMCS.

6. Members advanced to E-7 on or after 01 January 1999 must have completed either the Coast Guard Chief Petty Officers Academy or one of the Department of Defense (DoD) Senior Enlisted Academies to qualify to participate in competition for advancement to E-8.

### 5.C.5.d. Eligibility for Participation in Competition for Advancement to Pay Grade E-9

1. Be serving on active duty in pay grade E-8 in the rating for which recommended for advancement.

2. Have served on continuous active duty in the Coast Guard in pay grade E-8 during the entire two years immediately before the terminal eligibility date.

3. Have a total of at least 12 years active service.

4. For 24 months prior to the terminal eligibility date (01 January following the May exam), and for the entire period from recommendation to advancement, have no

unsatisfactory conduct mark, court martial (CM) or civil conviction, or NJP punishments. If NJP or CM imposes confinement and the member is confined, the good conduct eligibility period starts on the release date, even if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in Article 10.B.9, begins on the day following the effective date of the Enlisted Employee Review. After the individual has been recommended for advancement but has not advanced, Commanding officers will submit a message to PSC (adv), with Commander (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: a CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in Article 10.B.9.

5. To participate in the BMCM servicewide examination, the member must currently be certified to command afloat and ashore by the Officer in Charge Review Board, or be a career surfman certified to command ashore by the Officer in Charge Review Board. Career surfman are members that certify as surfmen at more than one unit and accumulate 10 years as certified surfman in surfman billets are considered career surfman.

## 5.C.6 Evaluation Marks

### 5.C.6.a. Minimum Requirements

Personnel who received an unsatisfactory conduct mark or a dimension average of less than 3 for the given factor on their last enlisted employee review are ineligible to advance or compete in the SWE.

### 5.C.6.b. Performance Factor

Enlisted Employee Reviews (EERs) for the members current pay grade, will be used to compute the Marks Factor, which becomes part of the Final Multiple Score. Only those EERs with an effective date that falls within the “Employee Review Window” shown below, will be used. EERs dated within the window but submitted after the PDE correction deadline dates, as published in the ALCGENL/ALPERSCOM message announcing the upcoming exam cycle, will not become part of the Marks

Factor score. The “eligibility dates” for the EER window chart are always three months prior to the first day of the exam month. The eligibility dates are:

| SWE | Eligibility Dates |
|---|---|
| October | 1 July of exam year |
| November | 1 August of exam year |
| May | 1 February of exam year |

The EER window for the active and reserve SWE Marks Factor is:

| For advancement to paygrade | Enlisted Employee Review window |
|---|---|
| E-5 | 10 months prior to the eligibility date |
| E-6 | 15 months prior to the eligibility date |
| E-7 | 26 months prior to the eligibility date |
| E-8 | 28 months prior to the eligibility date |
| E-9 | 26 months prior to the eligibility date |

### 5.C.6.c. SWE Enlisted Employee Review

A SWE Enlisted Employee Review (EER) may be completed for the purpose of qualifying a member for the SWE competition if the member has not been evaluated in the current pay grade during the Employee Review Window listed above. SWE EERs must be dated prior to the eligibility date and submitted prior to the published PDE correction deadline date to be counted for the upcoming SWE. A SWE EER shall not be completed to raise a factor average, change an unsatisfactory conduct mark, or change a CO's advancement recommendation.

### 5.C.6.d. Broken Service

When Article 5.C.14.b.(4) applies for members with broken service, only evaluations assigned during the current period of service shall be utilized.

### 5.C.6.e. Advanced Training

Since advanced training students are not normally evaluated, EERs received immediately prior to entering the advanced training program shall be used. The following time periods apply for the May Servicewide Examination:

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

## 5.C.7 Performance Qualifications and Military Requirements

### 5.C.7.a. Enlisted Performance Qualifications (EPQs)

1. Description. Enlisted Performance Qualifications (EPQs) are professional job performance requirements members must demonstrate to advance or change rating. The Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (series) sets forth these requirements, in detail. For each qualification members must demonstrate ability under actual or simulated conditions. This may be done over a considerable period of time.

2. Completion of **Enlisted** Performance Qualifications. Except as noted below, each candidate is responsible for completing all EPQs for the next higher pay grade or change in rating. Commands must ensure that unit members desiring to take the SWE have completed all EPQs by 01 February preceding the May SWE or 01 August preceding the November SWE for personnel participating in the active duty SWEs, and by **01 July** preceding the October RSWE for personnel participating in the Reserve SWE. As each EPQ is completed, the person observing the demonstration shall place the name of the unit, the date, and his or her initials after the appropriate item on the EPQ form, CG-3303C. The command may, at any time require a member to demonstrate again ability to perform any performance qualification performed previously. Completion of a Class "A" or "C" course does not **fully** satisfy the requirements for completion of performance qualifications. However, **many of** these requirements may be completed and recorded at the school command. At units where completion of all the EPQs cannot be accomplished after making every reasonable effort, the **CO/OIC** may **defer** the requirement. However, a **deferral of EPQs** does not relieve the member of demonstrating ability in that particular qualification at a later date, when the means to perform the qualification are available. **For each EPQ deferred, annotate as "deferred" on the member's Record of Performance Qualifications, Form CG-3303C(series) and sign and date the notation.**

3. Personnel Authorized to Sign EPQs. **A Professional Development Supervisor (PDS) is normally assigned by the command to mentor junior personnel. The PDS or designated supervisor must be at least one pay grade senior and should be of the same occupational specialty as the student. A PDS possesses the demonstrated professionalism and leadership ability as determined by the CO/OIC as competent to witness and sign off performance qualifications as satisfactorily completed.** A commissioned **officer**, warrant or senior petty officer **may be designated to** evaluate the member's ability on each performance qualification. Members must receive authorization from their immediate supervisors to have someone outside their normal chain-of-command sign off performance qualifications.

4. Maintaining Individual Performance Qualification Records. EPQ form CG-3303C must be kept current and will be retained as a permanent part of the Unit Personnel Data Record **in accordance with Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series).** At units where Personnel Data Records are not maintained, the **CO/OIC or work center CPO** shall retain custody. Members are to be given a copy when all EPQs are completed for their records.

### 5.C.7.b. Military Requirements

1. All **enlisted** personnel must complete the **Enlisted Professional Military Education (EPME) requirements and Advancement Qualification Exam (AQE)** listed below before advancing to pay grades E-4 through E-**8** as follows:

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

2. For those non-rated personnel attending a Class "A" school, the military requirements for pay grade E-4 will be met through successful completion of the **AQE** administered by the training command. For those Class "A" school students who successfully complete **the AQE, a data entry will be made in Direct Access.**

3. Class "A" school students who have completed the rating portion of the course of instruction, but have not completed the **EPME AQE** may not be advanced until the **EPME AQE and performance** requirements are satisfied. To satisfy these requirements once graduated, they must complete the **EPME** course **and performance requirements** before advancement to E-4. The Institute will provide procedures for administering the **EPME AQE.**

## 5.C.8 Rate Training Correspondence Courses/Performance Qualification Guides

### 5.C.8.a. General

**Rate training correspondence** courses, **called Performance Qualification Guides (PQG), are formal occupational specialty training** courses based on the **Enlisted Performance Qualifications (EPQ)** for each rating as outlined in the Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (series). **EPQs are available through CG Central under the My Workspace tab, and at the Office of Reserve and Training Directorate (CG-13) website**

**PQGs** are used for the purpose of increasing the proficiency of enlisted personnel in preparing for advancement or change in rating. A person may at any time commence study and complete a **rate training** correspondence course **or PQG** for a higher rate. The Coast Guard Institute ESO Procedures and Guides lists **current editions of all** correspondence courses **available to Coast Guard personnel.**

### 5.C.8.b. Mandatory Rate Training Courses

Successful completion of the appropriate Coast Guard Institute correspondence course is a mandatory prerequisite to be eligible for advancement in or change in rating. Coast Guard correspondence courses may not always be available for all rates and ratings since courses are continually being revised. When the Commanding Officer, Coast Guard Institute, cannot fill a correspondence course

order within four weeks from the date of receipt of the application, the applicant's commanding officer will be so advised. Upon determination by Commander (CGPC-epm) ((CGPC-rpm) for Reserve SWE) that a correspondence course was not available in time for completion prior to the SWE deadline, it will be listed as a waived requirement on the pertinent ALCGENL for active duty SWEs or ALCGPERSCOM for Reserve SWEs.

### 5.C.8.c. Revision of Rate Training Courses

**When a rate training course is revised it is usually announced via an ALCOAST message or by email from the Institute through the Educational Services Officer (ESO) network. The announcement will include the new course name, ordering code and a date of transition from the old to the new version of the course. Members currently enrolled in the older version of the course are encouraged to re-enroll in the newly revised course because it is better aligned with the current occupational requirements. However, a transition period will usually be allowed for those members who have almost completed the older version of the course. A candidate for advancement is not required to retake a previously completed rate training course when a revised course is issued unless specifically directed to by the Force Manager. The unit ESO can provide guidance on availability of the latest version of rate training courses. Course information is also posted by the Institute to CG Central under the Learning tab.**

### 5.C.8.d. Date of Completion of Rate Training Course

The effective date of completion is the date the member was administered the end-of-course test (EOCT) as reflected in Direct Access. **For active duty members,** EOCTs must be administered by 01 August preceding the November SWE and by 01 February preceding the May SWE. **For reserve members EOCTs must be administered by 01 July preceding the October RSWE.**

### 5.C.8.e. Waiver of Completion of a Rate Training Course or Class "A" Course

Satisfactory completion of a Class "A" course of instruction at a Service school, or the equivalent, is considered as satisfying the requirement for completion of a **rate training** course for pay grade E-4 (petty officer, third class) and for pay grade E- 3 when that rate level has not yet been attained. Graduates of Coast Guard and Navy basic petty officers courses are assigned designators. Therefore, personnel who have a course-assigned designator are considered to have met the mandatory correspondence course requirement for the applicable rate. This in no way satisfies the need for completion of the **professional military education** courses which are prerequisites for advancement. Article 5.C.7.b.

1. Completion of a correspondence course is not required for advancement to senior chief petty officer or master chief petty officer.

2. A commanding officer, citing this article as authority, may grant a waiver of completion of the required correspondence course to a candidate who:

   a. Is eligible in all other respects for participation in accordance with Article 5.C.4, and,

   b. Within 24 months prior to the deadline for completion of advancement requirements, has been unable to pass the end-of-course test after at least three attempts, and

   c. Is an E-4 with not less than eight years of active duty and not less than five years of time in grade; or, is an E-5 with not less than 15 years of active duty and not less than five years of time in grade. Computations of time in service and time in grade for this purpose will be in accordance with Article 5.C.14.

### 5.C.8.f. Personnel Data Record Entries

A record of correspondence course completions is maintained by the Coast Guard Institute. Service school completions are recorded in Direct Access and are reflected in the Personnel Data Information File (PDIF).

### 5.C.8.g. Testing Policy

**There is a 21 calendar day waiting period between test taking attempts for all End of Course Tests (EOCT) administered by the CG Institute. This restriction includes enlisted rate training PQG course and EPME Advancement Qualification (AQE). This policy makes testing opportunities equitable for all personnel whether stationed at a unit equipped with e-testing centers or aboard underway cutters that rely on the postal system. The policy also deters multiple test taking attempts in a short period of time and should provide incentive for adequate study of course material. Subsequent re-testing is allowed on or after the 21st calendar day following the previous testing date. The following exceptions apply:**

1. **Commanding officers of training centers are authorized to administer re-tests to "A" school students within 21 calendar days but no less than seven calendar days after the previous attempt.**

2. **Commanding officers of air stations are authorized to administer re-tests to airman program students within 21 calendar days but no less than seven days after the previous attempt.**

## 5.C.9. Required Service Courses

Members must complete the listed Class "A" course to advance to the indicated rates, unless Commander, (CGPC-epm) waives the requirement.

| **RATING** | SCHOOL |
|---|---|
| AMT | Aviation Maintenance Technician (AMT) Class "A" Course |
| **AET** | **Avionics Electrical Technician (AET)**, Class "A" Course |
| AST | Aviation Survival Technician (AST), Class "A" Course |
| ET | Electronics Technician (ET), Class "A" Course |
| GM | Gunner's Mate (GM), Class "A" Course |
| HS | Health Services Technician (HS), Class "A" Course |
| MST | Marine Science Technician (MST), Class "A" Course |
| PA | Public Affairs Specialist (PA), Class "A" Course |
| OS | Operations Specialist (OS), Class "A" Course |
| IT | Information Technology (IT), Class "A" Course |

## 5.C.10. Citizenship or Security Clearance Requirement to Advance in Certain Ratings

### 5.C.10.a. General

In order to safeguard classified information, it has been necessary to establish the requirement that to be eligible to advance in certain rates or ratings, members must be eligible to have access to classified information. This security requirement for the rate or rating remains valid even though an individual may not need a clearance in presently assigned duties. Currently, a little less than half the Coast Guard's rates and ratings fall in this category. The remaining ratings seldom require a member to have access to classified information and accordingly, commanding officers will ensure that personnel who are ineligible for access to classified information advance only in the "unclassified" ratings.

### 5.C.10.b. Ratings Requiring Eligibility to Classified Information

These ratings, including their related service ratings or designators, require eligibility to access to classified information:

**AET**, AMT, AST, ET, GM, PA, OS, IT.

### 5.C.10.c. Rates and Ratings Generally Not Requiring Access to Classified Information

These following rates and ratings, including their related service ratings or designators, generally do not require access to classified information:

| **RATES** | **RATINGS** |
|---|---|
| **FA, FN, SA, SN** | **BM, DC, EM, FS, HS, MK, MST, MU, SK** |

## 5.C.10.d. Advancement of Aliens

1. Definition. An alien is a person who is not a citizen or national of the United States. For purposes of this article, an immigrant is an alien who has been lawfully admitted to the United States for permanent residence. An alien without immigrant status is one who has not been admitted to the United States for permanent residence under an immigrant visa.

2. Path of Advancement for Immigrants. Immigrants are eligible for change to any rate or ratings for which qualified. For ratings requiring access to classified information refer to paragraph b.; however, eligibility for security clearance (i.e., completion of a satisfactory background investigation) must be established in accordance with Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (series), before change to the rating or assignment of a designator is permitted. When it is established that an immigrant desires to advance into a "classified" rating, the necessary background investigation will be initiated immediately. If qualification for the rating is contingent upon completion of classified training schools or courses and/or classified SWE, this security investigation must be completed before participation in such training or examination is permitted. Interim clearance may not be granted. Participation in nonclassified training and examination is permissible, but in no case may actual advancement or change in rating, or assignment of a designator be effective prior to the establishment of clearance eligibility. No waivers are granted.

3. Immigrants Who Fail To Become Naturalized Citizens. The Service will revoke the security clearance of immigrants who do not become naturalized within one year after completing residence requirements, normally three years of active service. This should normally coincide with the individual's expiration of enlistment date. The individual will not be eligible for reenlistment until he or she has become a United States citizen. Refer other cases to Commander, (CGPC-epm) for final decision.

4. Path of Advancement of Aliens Without Immigrant Status. Aliens without immigrant status may, unless otherwise directed, only advance in ratings which do not require access to classified information. These individuals are not eligible for security clearance, as explained in Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (series). Aliens, once they attain U.S. citizenship, are eligible for advancement or change to any rate or rating for which qualified.

## 5.C.10.e. Information Regarding All Personnel in "Classified" Ratings Who Are No Longer Eligible for Security Clearance

1. When it is determined by the commanding officer, or other competent authority, that an individual in a "classified" rating as listed in paragraph b. is being considered for having his or her security clearance terminated for cause, thereby

not meeting the requirements for a security clearance, the procedures outlined in Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (series), shall be followed.

2. In cases where an individual's security clearance is terminated for cause, and he or she is not recommended for separation from the Coast Guard, the individual will be reassigned to a billet that does not require a security clearance. Processing must begin for changing to a rating that does not require access to classified information. (Article 5.C.10.c.) The individual will remain so assigned long enough to allow him or her to compete in the next two SWE competitions for lateral change in rate. In unusual cases, Commander, (CGPC) may waive some of the eligibility requirement provisions. In the case of a nonrate with a designator, e.g., SNTC, the designator will be removed, and the member will be assigned to a nonrated billet without a designator. Subsequently, if the commanding officer determines that the member once again meets the requirements for issuance of a security clearance, as set forth in Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (Series), the commanding officer may request Commander, (CGPC-epm) to reassign the designator. Upon reassignment of the designator, and providing the member is in all respects otherwise qualified, he or she may be advanced in rate in accordance with current instructions. Article 5.C.29.

   a. If the member competes unsuccessfully in the next two SWE competitions, he or she will be administratively discharged, or if the member so elects and is eligible in accordance with the High Year Tenure (HYT) program, will be reduced in rate to SN and retained in the Service. Chapter 12.G.

   b. If enlistment expires before the member has had an opportunity to compete for lateral change in rate, as in subparagraph (a) above and he or she is recommended for reenlistment in an unclassified rating, enlistment may be extended for the time required.

   c. If the individual's current record is considered sufficient basis not to recommend reenlistment in any rating, he or she shall be so advised and the requirements of Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (Series), will be administered.

3. If the commanding officer feels that the individual's unsuitability for a security clearance is only temporary, such as voluntary rehabilitation under the drug exemption program, and that the member is highly qualified in all other respects to serve in his or her rating, he or she may be retained on board his or her operational unit for duty. The member will remain in this status for a maximum of three months unless otherwise directed by Commander, (CGPC-epm). After three months either the clearance will be restored or the individual must be processed in accordance with Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (series). The member shall be denied access to classified information during any period that suitability is in question.

4. All cases processed under paragraph (3) will be reported by letter to Commander, (CGPC-epm), copy to Commandant (CG-11). The report shall include the following:

   a. Name, social security number and rate.

   b. Date individual determined temporarily ineligible for security clearance.

   c. Basis on which determination was made (cite specific items, incidents, etc.).

   d. Course of corrective action being taken.

## 5.C.11 Path of Advancement

### 5.C.11.a. Next Higher Pay Grade

Advancements in the rate may be made only to the next higher pay grade.

### 5.C.11.b. Enlisted Rating Structure

Advancement may be made only to the next higher pay grade in the rating that is in the proper path of advancement as shown in the "Enlisted Rating Structure" section of the Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (series). It is essential that non-Class "A" course graduates serving in pay grade E-3 be in the proper path of advancement before participating in a Striker program. Chapter 5.E. This is not intended to restrict E-3 personnel in applying for and attending any Class "A" course, but clarification of the Striker program. For exceptions, see paragraphs f. of this article.

### 5.C.11.c. Personnel Assigned Designators

Personnel assigned designators may advance only to the rating indicated by their designator. Article 5.C.29.

### 5.C.11.d. Change in Rating

1. General Policy. The Commandant desires Coast Guard personnel to serve in the rate or rating for which they have the greatest aptitude and interest. However, due to the implementation of the Coast Guard's High Year Tenure (HYT) and Centralized First Term Reenlistment Review (CFTRR), changes in rating will only be approved for those ratings that need additional personnel. A change in rating may be made for members with less than five years Coast Guard Time In Service:

   a. At the request of the person concerned and requests should be submitted to Commander (CGPC-epm-1) via the chain of command, or

   b. In the best interest of the Coast Guard.

2. Methods by Which Changes in Rating Are Effected.

   a. By special authority of the Commandant;

   b. By Administrative Action in accordance with Article 5.C.30;

   c. By successful completion of Class "A" or "C" training for the purpose of changing rating;

   d. By Successful Completion of a Striker Program. Participation in a striker program to change rating must be authorized in each specific instance by Commander (CGPC). For specific guidance, see Chapter 5.E.

3. Personnel who have been approved by Commander (CGPC-epm) to change rating, may participate in the advancement for their present rating if otherwise qualified until they are advanced to E-4 in their new rating.

### 5.C.11.e. Headquarters Announced Deviation to Path of Advancement

The Commandant may authorize deviations from the normal path of advancement in Commandant Instructions or Notices to establish, disestablish, or merge ratings.

### 5.C.11.f. Examination of Personnel Under Instruction in Service Schools

1. Normal Path of Advancement. Personnel attending a Class "C" course which provides instruction in their normal path of advancement, if otherwise qualified, may participate in the Servicewide examinations.

2. Under Instruction for Change in Rating. All personnel who have authorization for a change in rating but have not received orders to Class "A" or "C" courses for rating conversion may participate in the advancement program for their present rating, if otherwise qualified, until they are enrolled in school. At that time, they will be considered to be in a "change of rating" status and are not eligible for advancement in the rating from which they are converting. An authorized advancement based on a SWE successfully completed prior to assignment to school may be effected.

3. Automatic Change in Rating in Equal Pay Grade on Completion of Course. Personnel under instruction for change in rating in pay grade E-4 are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "A" course. Personnel in pay grades E-5 and E-6 under instruction for change in rating are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "C" course. Personnel in pay grade E-6, who have requested assignment to Class "A" course and receive orders to such course, are reduced to pay grade E-5 prior to departing present unit. Upon satisfactory completion of Class "A" course all personnel in pay grade E-5 are reduced to pay

grade E-4 and changed to the appropriate rating, unless specifically exempted by orders or current directives.

## 5.C.12 Special Requirement for Certain Ratings

### 5.C.12.a. Ratings Requiring Normal Color Perception and/or Normal Hearing

These ratings, including the assignment of designators, require incumbents to have normal color perception and/or normal hearing. Requests for waivers to these requirements will not be approved. However, members on active duty, who have previously received a permanent waiver from Commandant, may remain and advance in their rating. All members who entered the MK rating prior to 01 Oct 2001 are exempt from the normal color vision requirement.

| NORMAL COLOR PERCEPTION | NORMAL HEARING |
|---|---|
| AMT, **AET**, AST, BM, EM, ET, GM, HS, PA, IT, MK, **OS** | AST, OS |

All personnel, regardless of rating, must possess normal color vision to be assigned to station boat crew billets or Aids to Navigation Teams (ANTs). Commanding officers bear the responsibility for ensuring that strikers in these ratings and all non-rates assigned to Coast Guard cutters qualifying for duty as lookout possess normal color vision.

### 5.C.12.b. Enlisted members required to perform flight duties

**All enlisted personnel holding an aviation rating (AET, AMT and AST) volunteered for aviation duty upon requesting aviation Class "A" school, as explained in the Training and Education Manual, COMDTINST M1500.10 (series). Because of the likelihood of deployment during crisis, emergency or surge operations, these members are considered career aviators and must maintain their fitness to fly as outlined in the Air Operations Manual, COMDTINST M3710.1 (series) regardless of their current duty assignment. Those members who cannot, or choose not to, meet these requirements must change to a rating that does not have these requirements.**

## 5.C.13. Circumstances Which May Render Personnel Ineligible for Advancement

### 5.C.13.a. Eligibility Requirement Waivers

Personnel for whom eligibility waivers have been requested are ineligible to compete in SWE for advancement until approval of waiver is received. Article 5.C.4.

### 5.C.13.b. Disciplinary Status

For 12 months prior to the terminal eligibility date (see Article 5.C.3.a.3.), and for

the entire period from recommendation to advancement, personnel in pay grades E-4 and E-5 must have no unsatisfactory conduct mark, court-martial (CM) or civil convictions, or NJP punishments. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following unsatisfactory marks in conduct or a factor mark less than those provided for in Article 10.B.9., begins on the day following the effective date of Enlisted Performance Evaluation Form (CG-3788 (series)). Commanding officers will submit a message to PSC (adv), with Commander (CGPC-epm-1), as information addressee, to remove from the current advancement eligibility list any person who has received a CM or civil conviction, or NJP, or an unsatisfactory conduct mark Article 10.B.9., after the individual has been recommended for advancement, but has not been advanced. Article 5.C.5 for guidance regarding personnel in pay grades E-6/7/8.

### 5.C.13.c. Confinement

Personnel in confinement are ineligible for advancement or to compete for advancement or change in rating. A substitute examination will not be provided.

### 5.C.13.d. Personnel Selected for Chief Warrant Officer (CWO) Appointment

Personnel who have been selected for promotion to chief warrant officer, above the cutoff on the CWO list, are ineligible for advancement to CPO, SCPO, or MCPO. Their names automatically will be removed from established enlisted eligibility list 60 days after publication of the officer eligibility lists, unless an individual concerned has notified Commander (CGPC-epm) that they do not intend to accept the chief warrant officer appointment. If a member who has been selected is to be advanced to CPO, SCPO, or MCPO during the above 60 day window, the member must make a decision at that time, vice 60 days after publication, regarding their intentions to accept either advancement or appointment to CWO.

### 5.C.13.e. Disabled Personnel

1. Personnel who have been recommended for advancement and are either hospitalized, awaiting action of a medical or physical evaluation board or are in a not fit for duty status will be permitted to participate in and be advanced under the SWE competition process provided all of the following criteria are satisfied:

   a. The individual retains the commanding officer's recommendation.

   b. The commanding officer feels such competition would not be detrimental to the individual's health.

   c. In the judgment of the commanding officer, there is a reasonable expectation that the individual will be able to return to a fit for duty status.

2. Personnel who have been declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures are ineligible for participation in the SWE competition. However, personnel who have been granted a waiver for retention on active duty under Chapter 17.A are eligible.

### 5.C.13.f. Personnel with Approved Request for Retirement

Personnel with approved requests for retirement are ineligible for further advancement. Their Servicewide examination will be invalidated and/or their name removed from the existing eligibility, if applicable. However, members submitting retirement requests as a result of High Year Tenure (HYT) may still participate in the SWE competition if recommended by their commanding officer, and will remain on their respective eligibility list until their Professional Growth Point (PGP) is reached. Retirement requests will be rescinded, at the member's request, for those members who appear above the cut on an eligibility list, or who are advanced prior to reaching their PGP. (Refer to Article 12.C.11.c. for additional guidance on submission of requests for cancellation of retirement orders.)

### 5.C.13.g. Personnel Who Cancel Requests for Retirement

Personnel whose retirement request is canceled under the provisions of Article 12.C.11c will not be reinstated on existing eligibility lists for advancement.

## 5.C.14 Service Requirements and Determination of Service

### 5.C.14.a. Service Requirements

| Advancement to: | Minimum Active Service Requirements |
|---|---|
| E-1 to E-2 | May be effected upon recommendation of his or her Commanding Officer. |
| E-2 to E-3 | Six months in pay grade E-2 or satisfactory completion of Class "A" School |
| E-3 to E-4 | Six months in pay grade E-3 |
| E-4 to E-5 | Six months in pay grade E-4 in current rating |
| E-5 to E-6 | 12 months in pay grade E-5 in current rating |
| E-6 to E-7 | Article 5.C.5 |
| E-7 to E-8 | Article 5.C.5 |
| E-8 to E-9 | Article 5.C.5 |

(All service in the Coast Guard and Coast Guard Reserve must be continuous service conditions. Article 1.G.7.)

### 5.C.14.b. Determination of Service

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

1. Terminal Eligibility. Terminal dates for time in service and time in rate are designated as 01 July following the November examination and 01 January following the May examination. A Commandant Notice will announce any change to the terminal eligibility dates.

2. Time in Service. Time in service for eligibility for advancement and multiple computation is active duty in any of the Armed Forces and their Reserve components and is computed to the established terminal eligibility date. Periods of inactive duty, periods between discharge and reenlistment, and deductible time are not creditable for time in service. A correct Active Duty Base Date is the basis for this computation. The U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series) provides guidance in determining deductible time.

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

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

**b. Periods of inactive duty, periods between discharge and reenlistment, and deductible time in any branch of the Armed Forces or their Reserve components.**

4. Reenlistment Under Continuous Active Service and Broken Active Service Conditions.

   a. Only time previously served in the present or higher pay grade in the Coast Guard or Coast Guard Reserve, under continuous active service conditions within three months of separation is creditable toward TIR for eligibility.

   b. TIR requirement for members who return to enlisted status after serving as a warrant or commissioned officer commences the date of return to enlisted status as outlined in Articles 5.C.3 and 5.C.4. Time served as a warrant or commissioned officer is not creditable toward TIR multiple computation.

   c. Any enlisted time served in present or higher pay grades prior to serving as a warrant or commissioned officer is creditable for TIR for point purposes only. For example, if a member served as an E-7 for two years prior to being commissioned and then reverts to E-7, credit will be given for TIR by adding those two years to the TIR.

   d. If a member has held a higher pay grade, the time in the higher pay grade is not creditable toward TIR calculations for the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.

   e. Members with broken active service, out of Service over three months, will have their Date of Rank (DOR) and TIR based on the effective date of their reenlistment. Members who return to active duty within 2 years of their separation will receive full credit for any TIR formerly creditable prior to their separation. Members who return to active duty after 2 years from their date of separation may submit a request to Commander (CGPC-epm) for determination of credible TIR.

   f. TIR credit for Temporary Separation Program. Members who return to active duty from the temporary separation program will receive full credit for any TIR formerly creditable prior to their separation under the temporary separation program.

5. USCGR Personnel on Active Duty Who Voluntarily Accepted a Reduction in Rate to Enlist or Reenlist Under Continuous Service Conditions in the USCG. Former USCGR personnel while on active duty who voluntarily accepted a reduction in rate for the purpose of enlisting or reenlisting in the Regular Coast Guard shall meet all the requirements of Article 5.C.4 and compete in SWE competition for re-advancement on extended active duty, over one year. Time in the higher pay grade is not creditable at the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.

6. Personnel Reduced in Rate. Personnel, who have been reduced in rate for any reason, may not count prior service in present or higher rates in determining TIR.

The date of reduction is effective date of pay grade in present rating for determining subsequent advancement.

7. Personnel Restored in Rate.

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

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

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

   b. Commander (CGPC-epm) Action. Article 5.C.33 provides guidance in recommending personnel for restoration in rate not covered above. If the restoration is approved by Commander (CGPC-epm), the effective date of the restoration and eligibility date for subsequent advancement will be contained in the approval letter.

8. Personnel Removed From Temporary Disability Retired List. Personnel who have been placed on the temporary disability retired list and are subsequently found fit for duty and reenlist, will be credited with all active service in pay grade prior to retirement. In addition, time spent on the temporary retired list is creditable in computing TIR requirement for advancement.

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

## 5.C.15 Sea/Surf Duty for Advancement

### 5.C.15.a. Minimum Sea/Surf Duty

1. The minimum sea duty for advancement must be met by 01 February preceding the May SWE or by 01 August preceding the November SWE. Waiver for this requirement will not be granted except in cases where candidate is presently serving at sea or is under orders to sea duty and will meet the sea duty requirement by the effective date of the advancement eligibility list (01 July following the November SWE or 01 January following the May SWE). This waiver may also be granted to certified surfmen assigned PCS to a designated surf station or the National Motor Lifeboat School, who hold the CXNSJ, CXNSK, CXNSM, CXNSU or CXNNLBS competency code.

2. If a member is transferred from a sea duty assignment before completing the required sea duty for advancement due to the needs of the Service, the sea duty requirements for advancement may be waived. The waiver will be documented in the orders of the member.

### 5.C.15.b. Sea Duty for Advancement

Sea time for advancement eligibility is defined as duty (PCS, TD, or TDY) aboard**:**

a. a floating or mobile unit. Chapter 4-B-4, U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series).

b. an Aids to navigation facility (ANFAC).

c. the CG Yard's WYTM, as a Ship Rider.

d. at a Fleet Training Group/Unit (FTG/FTU).

e. a LEDET, when assigned to vessels on a TDY basis.

f. International Training Division (ITD) (for time attached to ITD on or after 21 Oct 2002, effective date of Personnel Manual, COMDTINST M1000.6 (series) Ch. 37).

g. an MSST, when assigned to designated position as qualified coxswain.

h. **For those members who entered the RM rating prior to 01 February 1994 and who have 12 months of duty above pay grade E-3 at a communications or radio station, as an RM or TC, meet the sea duty requirement for advancement to OSC.**

If a vessel is not listed in the OPFAC manual, it must come within the definition: "vessels 65 feet or over in length except barges, and all tugs of any length." Members claiming sea duty in the Navy or for TDY, must submit proof thereof, showing actual dates served. PSC (adv) may consider credit for sea duty on ships other than Coast Guard or Navy on an individual basis. For sea duty to be creditable during TDY periods, the member must not receive per diem (i.e. NESU personnel TDY to a cutter for maintenance).

### 5.C.15.c. Minimum Sea Duty for Designated Ratings Prior to 01 February 1994

1. For members entering their designated ratings prior to 01 February 1994, the minimum sea duty requirements for eligibility for advancement in the ratings are listed below:

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

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

### 5.C.15.d. Minimum Sea Duty for Those Entering Designated Ratings on or after 01 February 1994

1. For members entering their designated ratings on or after 01 February 1994, the minimum sea duty requirements for eligibility for advancement in the ratings are listed below:

| PAY GRADE | RATINGS | MINIMUM SEA TIME |
|---|---|---|
| E-6 | BM | 6 months in any rating or pay grade |
| E-6 | ET, MK | 12 months in any rating or pay grade |
| E-6 | DC, EM | 12 months in designated rating in any pay grade |
| E-6 | FS | 24 months in any rating or pay grade |
| E-7 | BM | 12 months in designated rating in any paygrade |
| E-7 | DC, MK | 18 months in designated rating in any pay grade |
| E-7 | EM, ET | 24 months in the designated rating (including legacy FT) in any pay grade |
| E-7 | FS | 36 months in designated rating in any pay grade |
| E-7 | OS | • 12 months in designated rating (including legacy RD, TC) in any pay grade **for all members who lateraled to OS on 1 Jul 03.**<br>• 24 months in designated rating for non-legacy ratings and for OS “A” school graduates |

2. BM’s who have been qualified as a Coxswain, as defined in the U.S. Coast Guard Competency Management System Manual, COMDTINST M5300.2 (series), with at least 12 consecutive months of satisfactory performance as a regularly assigned boat coxswain on a boat listed in the U. S. Coast Guard Boat Operations and Training (BOAT) Manual, Vol. I, COMDTINST M16114.32 (series) (includes standard and non-standard boats), are considered to have met the sea duty requirement for advancement to E-6. Winter months that preclude boat activity will

be credited toward the consecutive duty criteria. The member's unit or servicing SPO will record the coxswain competency into Direct Access.

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

### 5.C.15.e. Excluded Ratings

Individuals advancing in ratings excluded from Article 5.C.15.c. and d. are not required to have sea duty experience.

### 5.C.15.f. Sea Duty Requirement for Change in Rating

A person holding a rating excluded from sea duty requirement under Articles 5.C.15.c., 5.C.15.d. and 5.C.15.e. above, desiring a change to a rating that has a sea duty requirement must meet the sea duty requirement for the desired rating.

## 5.C.16. Sea/Surf Duty Points for Servicewide Examination Competition

All personnel competing in the Servicewide Examination (SWE) competition will receive credit for each full month of Coast Guard sea duty earned after 1 February 1994, not to exceed 2 whole points per year, up to a maximum of 30 points in a career. The points shall be applied to each SWE competition, irrespective of whether a candidate has been previously advanced using the sea duty points or the candidate's current duty assignment. The Creditable Sea Duty point factor is not to be confused with Sea Duty for SWE Eligibility (See Article 5.C.15.c and d). Creditable Sea Duty points will be computed from 1 February 1994 to the Servicewide Eligibility Date of 1 February (for the May exam) and 1 August (for the November exam). The Personnel Service Center (PSC) will compute total sea duty points for each member prior to the SWE competition.

Members assigned PCS to a designated surf station or the National Motor Lifeboat School and holding the CXNSJ, CXNSK, CXNSM, CXNSU OR CXNNLBS qualification code, may earn surf duty points at the rate of 1 point per year (.083 points per month) retroactive to 01 January 2000, up to a maximum of 15 points in a career. Points shall be applied to each SWE competition, regardless of whether the member has been advanced or transferred away from a surf duty station. However, the additional points are not retroactive to participation in a previous SWE. The combination of sea duty and surf duty points may not exceed a maximum of 30 points in a career. The creditable surf duty point factor should not be confused with the creditable surf duty eligibility rules for advancement. The provisions contained in Art. 5.C.15. continue to apply.

## 5.C.17. Vacant

## 5.C.18. Verification of Eligibility

Personnel Data Record entries, including EPQ form CG-3303C, must support eligibility to participate in the examination to advance in or change rating.

## 5.C.19. Requesting Personnel Data Record (PDR) Information

A candidate's current Personnel Data Record (PDR) should contain the information necessary to verify an individual's eligibility for advancement. However, if the PDR does not, the local unit can request such information from Commander (CGPC-epm). Since the information request is purely administrative, the unit need not send the request through the chain of command and can mail it directly to Commander (CGPC-epm), who will return it in the same manner. Submitting requests early is essential to avoid penalizing eligible candidates. Substitute examination will not be provided except in extenuating circumstances; see Article 5.D.3.

## 5.C.20. through 5.C.24. Vacant

## 5.C.25. General Provisions for Advancement

### 5.C.25.a. More than One Grade

An enlisted person shall not be advanced more than one grade at a time, except by specific authority of the Commandant or as authorized by Article 5.C.33.

### 5.C.25.b. Unfit for Duty

Personnel declared unfit for duty by Commander (CGPC)'s final action on physical disability retirement and separation procedures are eligible for advancement if their name appears above the cut-off for advancement on the current advancement eligibility list. Members who are being retired for physical disability under the provisions of Title 10, Chapter 61 will be promoted prior to retirement.

### 5.C.25.c. Withholding Advancements

1. The commanding officer shall withhold advancement for the following reasons:

   a. Disciplinary action pending.

   b. The member has not continued to remain eligible for advancement. Article 5.C.4.

   c. Undergoing medical treatment as a result of his or her own misconduct and subject to disciplinary action.

   d. Holding an aviation rating but in a non-flying status. In accordance with Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 (series).

e. Personnel whose names appear below the cut-off for advancement on the current advancement eligibility list and who have been declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures are ineligible for advancement.

f. Not complying with Weight/Physical Fitness Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series).

2. If advancement is not effected for any reason listed above, the commanding officer shall notify Personnel Service Center (adv) and the cognizant Servicing Personnel Office (SPO) by message with Commander (CGPC-epm) as an information addressee. The message shall include the reasons for the action and a statement that the member understands why advancement was withheld.

3. An advancement withheld based on reasons specified above may be effected at a later date but not later than the expiration of the current eligibility list. When the commanding officer feels that an individual is deserving of an advancement that has been withheld, he or she shall advise Commander (CGPC-epm) with their recommendation in order that the member may be advanced. No member whose advancement has been withheld may be carried over to the new eligibility list.

## 5.C.25.d. Cancellation of Advancement

If at any time prior to effecting an advancement, a commanding officer wishes to withdraw his or her recommendation because an individual has failed to remain eligible and it appears that eligibility will not be attained prior to expiration of the current eligibility list, the commanding officer shall advise the Personnel Service Center by message with Commander (CGPC-epm), as an information addressee, to remove the individual's name from the eligibility list. When the commanding officer notifies Commander (CGPC) that he or she has withdrawn his or her recommendation, he or she shall state his or her reasons for the action and include a statement that the individual understands the reasons his or her name will be removed from the eligibility list. This notification is not for the purpose of a review of the commanding officer's decision, but rather to allow for orderly personnel and financial planning by Commander (CGPC). The only review of the commanding officer's decision under Articles 5.C.25.c. or d. would be a complaint under Article 138, UCMJ.

**Note:** Under Article 138, UCMJ, no one, including the Officer Exercising General Court Martial Jurisdiction (OEGCMJ) has the authority to change a commanding officer’s decision on an advancement recommendation and re-instate a member on the eligibility list for advancement except Commandant (CG-12). An OEGCMJ who disagrees with the commanding officer’s decision may forward the Article 138 complaint with a recommendation for reinstatement to Commandant (CG-12).

## 5.C.25.e. Obligated Service Requirement

1. Personnel advancing to pay grade E-7, E-8, or E-9 will be required to remain on active duty for two years from the effective date of their advancement to the new

grade. Personnel who accept advancement to pay grade E-7, E-8, or E-9, not serving on an indefinite reenlistment, will be required to either extend their enlistment or reenlist prior to advancement, if necessary, to ensure meeting the two year obligated service requirement. If personnel cannot reenlist or extend for the full two years due to High Year Tenure, then they must obligate to their Professional Growth Point for the new pay grade.

2. Personnel advanced to pay grade E-7, E-8, or E-9 understand that a request for voluntary retirement or early release will not be effected prior to completion of the two year obligated service requirement. Articles 1.G.14.a.2., 4.C.3., 12.B.12.b.2., and 12.C.11.a.2.b.(4).

3. Personnel who do not desire to incur the two year obligated service must decline the advancement to pay grade E-7, E-8, or E-9 prior to the effective date of advancement. Follow Article 5.C.25.f. for personnel who decline advancement or voluntarily elect to have their name removed from the SWE advancement eligibility list. Upon effecting the advancement to pay grade E-7, E-8, or E-9, personnel incur the two year obligated service.

### 5.C.25.f. Personnel Who Decline Promotion or Voluntarily Elect to be Removed from an Eligibility List

These members shall be required to wait one year from the anniversary date of that election before being eligible to participate in future examinations. At the time, the member makes either of the above elections, Commander (CGPC-epm) will be notified. An Administrative Remarks, CG-3307 entry will be made, which the member must sign signifying that he or she understands that they are ineligible to participate in the SWE for a one year period. The original Administrative Remarks, CG-3307, shall be forwarded immediately to Commander (CGPC-adm-3). If the member reenlists and the one year period has not elapsed, Administrative Remarks, the CG-3307, shall be retained in the working Personnel Data Record on reenlistment.

## 5.C.26. Authority for Advancement in Rate

### 5.C.26.a. Pay Grade E-4 Through E-9

1. Commander (CGPC). Commander (CGPC) will publish a list of personnel eligible for advancement or change in rating as a result of SWE competition to fill vacancies in pay grades E-4 through E-9. Commanding officers may advance personnel listed on the monthly Advancement Announcement.

2. District commanders, commanders, maintenance and logistics commands, and commanding officers are authorized to advance, without reference to Commandant, from pay grade E-3 to E-4 members who were assigned a designator upon graduation from a Class "A" School once the member satisfies all applicable requirements of Article 5.C.4 or those who were released from active duty and reenlisted with a designator after being out of the Coast Guard for more

than 24 hours once the member satisfies all applicable requirements of Article 5.C.4.

3. Personnel Undergoing Training.

   a. The below listed commands are authorized to advance from pay grade E-3 to E-4 those Class "A" School graduates who satisfy applicable advancement requirements of Article 5.C.4 upon graduation:

      (1) Commanding officers of Headquarters units conducting Class "A" schools.

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

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

   b. Class "A" School graduates who do not qualify for advancement to E-4 upon graduation are assigned designators as prescribed in Article 5.C.29.

## 5.C.26.b. Pay Grades E-1 Through E-3

1. District Commanders and Commanding Officers. Upon receipt of written notification of completion of courses and performance qualifications, commanders and commanding officers are authorized to advance personnel who meet the applicable requirements of Article 5.C.4 from pay grade E-2 to E-3 and from E-1 to E-2 without regard to vacancies. In addition, a member must be a graduate of a military training center to be eligible for advancement to E-2.

2. Personnel Undergoing Training. Commanding officers of training centers are authorized to advance personnel from pay grade E-1 to E-2 upon satisfactory completion of recruit training.

3. Graduates of Class "A" Schools. Commanding officers are authorized to advance E-2 graduates of Class "A" Schools to E-3. Required completion of E-3 performance qualifications for advancement to E-3 is waived for these individuals.

## 5.C.26.c. Election for Advancement to E-4 or Assignment to Class "A" School

Effective immediately upon receipt of orders to Class "A" School or upon receipt of advancement authority resulting from SWE competition, the member must elect whether Class "A" School or SWE advancement is desired.

1. If an individual accepts advancement to E-4 as a result of SWE competition, the member's commanding officer will request that Commander (CGPC-epm-1) remove the member's name from any Class "A" waiting list which was previously requested.

2. If an individual accepts orders to Class "A" School, the individual will be ineligible for advancement to E-4 as a result of any previous competition in the SWE. The member's commanding officer shall request to PSC and info Commander (CGPC-epm-1) to remove the member from the SWE advancement eligibility list. Training commands shall request cancellation of advancement authority for all students who are attending Class "A" School if advancement authority is received while the member is attending a Class "A" School. No individual will be advanced to E-4 at any training command prior to graduation. Members who elect to attend Class "A" School in lieu of accepting advancement to E-4 as a result of SWE competition and subsequently fail to graduate from Class "A" School will be required to recompete for advancement to E-4.

3. Individuals enrolled in Class "A" School will be authorized to elect one of the following:

   a. Continue with their Class "A" training and request that their name be removed from the SWE eligibility list.

   b. Request disenrollment from Class "A" School. Members will then be assigned to a field unit to wait for advancement authority resulting from the SWE competition.

## 5.C.27. Advancement Within Enlisted Status While Serving as a Temporary Commissioned Officer

### 5.C.27.a. Commanding Officer Recommendations

Commanding officers may submit recommendations to Commander (CGPC-epm) for advancement to pay grade E-6 for temporary commissioned officers whose permanent enlisted status is pay grade E-5, if they meet the applicable eligibility requirements of Article 5.C.4.b.

### 5.C.27.b. Temporary Commissioned Officers

Temporary commissioned officers are not eligible for advancement to pay grades E- 7, E-8, or E-9.

## 5.C.28. Effective date of Advancement

### 5.C.28.a. General

All advancements shall be effective on the 1st of the month, except in the following situations:

1. Commanding officers of training activities when effecting advancements in accordance with Article 5.C.26.a.(3) or Article 5.C.26.b.(2) shall make such advancements effective on the date of satisfactory completion of the prescribed service.

2. Advancement to pay grade E-3 may be effective on any date subsequent to the completion of the applicable requirements of Article 5.C.4.

3. Graduates of Class "A" courses who were assigned a designator (Article 5.C.26.a.(3)) and who meet the requirements of Article 5.C.4 may be immediately advanced from pay grade E-3 to E-4.

### 5.C.28.b. Notification

When notification of eligibility for advancement has officially been announced by Commander (CGPC) specifying the earliest date on which these advancements may be effected such advancements may be effected, as of the date specified regardless of the date of receipt of the notification on board.

### 5.C.28.c. Retroactive Advancements

Commanding officers shall not advance a member retroactively, advancements are considered retroactive after 30 days have elapsed since the requested date of advancement. Advancements made by a commanding officer pursuant to Article 5.C.26 shall be effective on or after the date the commanding officer officially approves the advancement as evidenced by his or her signature on a Personnel Data Record entry, advancement certificate, or letter to the member's personnel reporting unit. No exceptions to this policy are allowed.

## 5.C.29. Designators

### 5.C.29.a. General

The assignment of designators provides a means to identify:

1. Personnel serving in pay grade E-3 who have received formal Class "A" School training;

2. Those rated personnel who have successfully completed all requirements for an approved change of rating. Personnel who have been assigned a designator shall be assigned the duties of the rating for which designated.

3. Those previously rated personnel who were discharged from the Coast Guard and reenter the Service as an E-3 or E-2 after being out for more than 24 hours.

## 5.C.29.b. Assignment of Designators

1. Personnel serving in pay grades E-2 and E-3 who successfully complete Class "A" courses.

   a. Commanding officers of training centers conducting basic petty officer training shall assign designators to personnel serving in pay grades E-2 and E-3 who satisfactorily complete the prescribed course of instruction.

   b. Commanding officers of Coast Guard commands to which non-rated personnel have been assigned for administrative purposes while attending a DOD school for basic petty officer training, shall assign designators to such personnel upon satisfactory completion of the prescribed course of instruction.

   c. Director, Coast Guard Recruiting Center shall assign designators to prior enlisted petty officers who were previously discharged and reenlisted as an E-3 or E-2 after an absence of more than 24 hours.

2. **Personnel on Established Eligibility Lists. PSC(adv) shall assign appropriate designators to those E-3 personnel placed on a striker advancement list.**

3. Personnel Previously Reduced to Pay Grade E-1.

   a. Commander (CGPC-epm) may, upon individual application, authorize the assignment of an appropriate designator to personnel who formerly served in a petty officer grade or who were formerly designated, but reduced to pay grade E-1, upon subsequent advancement to pay grade E-2 or E-3.

   b. Designators may also be assigned by special authority of the Commandant.

## 5.C.29.c. Removal of Designators

1. For Incompetency. The procedures set forth in Article 5.C.38.c. shall be followed in those cases where it has been clearly demonstrated that an individual is no longer qualified to perform the duties of the rating for which designated. Cases where removal of designator for incompetency is indicated will be referred to Commander (CGPC-epm).

2. For Disciplinary Reasons. Personnel, including non-rated designated personnel, who are reduced to pay grade shall retain their designator except when reduced to pay grade E-1.

3. Removal of Designators for Other Reasons. All other cases involving removal of designators not specifically provided for herein shall be referred to Commander (CGPC-epm) for action. This includes individual requests from non-rated designated personnel and from those former E-4 personnel who were voluntarily reduced to pay grade E-3 in accordance with Article 5.C.38.d.

4. Personnel Data Record Entries. When removal of a designator has been authorized, make appropriate Personnel Action entries in the enlisted Personnel Data Record.

### 5.C.29.d. Identification of Designated Personnel

1. When a designator is assigned it shall be used as an integral part of the individual's rate wherever it appears; i.e., SAYN, SNBM.

2. Personnel serving in pay grades E-2 and E-3 shall wear the marking of their designator as may be prescribed by current uniform regulations.

## 5.C.30. Authority for Change in Rating

### 5.C.30.a. Pay Grade E-4 and Above

1. Commander (CGPC). Commander (CGPC) shall authorize district commanders and commanding officers of Headquarters units to direct or effect changes in rating of personnel in pay grades E-4 through E-6 from eligibility lists in the same manner as outlined in Article 5.C.26.

2. Personnel Undergoing Training. Commands listed in Article 5.C.26.a.(3) are authorized to:

   a. Change the rating of each graduate in pay grade E-4 or E-5 who is attending a basic petty officer course to pay grade E-4 in the appropriate rating unless specifically exempted by orders or current directives.

   b. Change to appropriate rating, with no change in pay grade, those petty officers who are attending advanced training for the purpose of change in rating.

### 5.C.30.b. Pay Grades E-2 Through E-3

1. Commander (CGPC). Commander (CGPC) may authorize direct change in apprenticeship rates based on the needs of the Service.

2. District Commanders and Commanding Officers of Headquarters Units. District commanders and commanding officers of Headquarters units may authorize, without reference to the Commandant, changes in rate in pay grades E-3 and below. District commanders may delegate authority to commanding officers of units under their command to authorize and effect changes in rate in pay grades E-3 and below. Such delegation shall be in writing. Personnel serving in pay grades E-2 through E-3, desiring a change in rate, may make a letter application to their commanding officer for the same. Provided the individual meets the eligibility requirements by completion of applicable correspondence course and performance qualifications for the new rate, the commanding officer may approve the request.

### 5.C.30.c. Change in Rating in the Best Interest of the Service

When a commanding officer considers that an individual is no longer qualified to perform all the duties of his or her rate or rating for reasons other than incompetence, but is qualified or can within a reasonable time become qualified for a change to another rate or rating, he or she shall so inform Commander (CGPC-epm) setting forth the reasons in detail. A statement signed by the individual concerning the situation shall be forwarded as an enclosure. When Commander (CGPC) considers that the proposed change is required in the best interest of the Service, such change will be authorized. The provisions of this article will not apply when there is any doubt as to the person's fitness for retention in the Service because of mental or physical reasons.

## 5.C.31. Eligibility List for Advancement or Change in Rating to Pay Grades E-4 through E-9

### 5.C.31.a. Preparation of the Eligibility List

After the SWEs have been scored, Commanding Officer, Personnel Service Center will prepare the advancement eligibility lists for approval by Commander (CGPC). The lists will be distributed by PSC(adv) via the Gold Badge network and posted on the PSC website.

### 5.C.31.b. Cutoff Points

Cutoff points on eligibility lists will be established by Commander (CGPC), according to the number of advancements anticipated during the effective period of the respective lists. The cutoff point on each list is shown by a mark adjacent to the rank-order number of the last name above the cutoff, e.g., 21. Only those personnel who's name appears above the cutoff are assured of advancement. Copies of the approved list will be furnished to the field.

### 5.C.31.c. Effective Period of Eligibility List

The effective period of the advancement eligibility list will be published with the list. Normally, each list will remain in effect until superseded by a new eligibility list

resulting from a later SWE competition. When the new list is published all advanced candidates above the cutoff on the superseded list will be carried over to the top of each new list. If no competition was conducted in a particular rate, the entire remaining old list, above and below the cutoff, will be reprinted.

### 5.C.31.d. Supplemental Changes to Eligibility List

Commander (CGPC) will direct publication of supplemental changes to the eligibility lists when necessary to insert candidates whose regular or substitute examination were received too late for computer scoring.

### 5.C.31.e. Advancement Announcement

Personnel placed on the eligibility lists will be advanced or have their rating changed as indicated by Commander (CGPC) in an advancement announcement.

### 5.C.31.f. Removal from Eligibility List

An individual's name may be removed by Commander (CGPC) as a result of disciplinary action, or for other good and sufficient reasons, whereby the individual is no longer considered qualified for the advancement for which previously recommended. Commanding officers shall withhold any advancement under such circumstances and advise Commander (CGPC) of their intentions relative to removal from the list. A commanding officer may also direct that the individual not be removed from an eligibility list but that advancement is being withheld for a definite period (Article 5.C.25). Individuals who have their names removed from an eligibility list must be recommended and qualify again through a subsequent SWE competition.

### 5.C.31.g. Members Selected for Chief Warrant Officer

Names of personnel selected for promotion to chief warrant officer, above the cutoff, will be removed automatically from existing enlisted advancement eligibility lists 60 days after announcement of selection for such chief warrant officer status, unless the individual concerned has notified Commander (CGPC-epm) that he or she does not intend to accept the chief warrant officer appointment.

## 5.C.32. Commanding Officer’s Action on Receipt of Eligibility Lists

Commanding officers shall take appropriate steps to identify personnel under their command who appear on the advancement eligibility lists when published by the PSC(adv). The following actions shall be initiated without further guidance from higher authority:

### 5.C.32.a. Assign Designators for Non-rated Personnel

Assign designators to all non-rated personnel above the cutoff who are eligible for advancement to pay grade E-4. Make appropriate entries in Direct Access.

### 5.C.32.b. Designators for Change in Rating

Assign designators to all petty officers above the cutoff who have been selected for lateral change in rating. Make appropriate entries in Direct Access.

## 5.C.33. Advancement After Reduction

### 5.C.33.a. Advancement for Prior Coast Guard Active Duty Personnel

Prior Coast Guard active duty petty officers, regardless of completion of "A" school on prior enlistment, who reenlist as a non-rate and desire to advance in their formerly held rating may submit a request to Commander (CGPC-epm), informing PSC, for advancement. This request shall be submitted upon completion of six months active duty on current enlistment provided the member is considered qualified and recommended by the commanding officer. These members will be placed on the Class "A" school list of their formerly held rating for tracking purposes. When their name is reached, together with those selected to attend "A" school, Commander (CGPC-epm) will authorize advancement.

### 5.C.33.b. After Reduction as Punishment

1. Members who have been reduced in rate, except those who fall within the provisions of Articles 15(d) and 15(e) of the Uniform Code of Military Justice, are subject to the normal advancement system, unless they are considered by their commanding officers to be deserving of special advancement.

2. Commanding officers who consider enlisted members to be deserving of restoration to a formerly held rate, or deserving of advancement, but to a rate lower than formerly held, may recommend such restoration or advancement by letter to Commander (CGPC-epm). In making such a recommendation, the present commanding officer shall set forth in detail a full justification of the action recommended based on at least 5, but not more than 36, months observation of performance of duty by the member concerned since reduction in rate. The observation time need not be totally at the present unit, **but must take place within the same period of enlistment**. Enlisted members E-7 and above, who have been reduced to a rate E-5 or below, may be recommended for restoration of rate up to and including E-6. However, in order for enlisted members to be advanced to E-7 or above, they must recompete in a SWE when considered fully qualified in accordance with **Articles 5.C.4. and 5.C.11.a.**

3. Personnel who have been reduced in rate to pay grade E-1 are eligible for advancement to pay grade E-2 upon completion of confinement, or if no

confinement is involved, when considered by their commanding officer to be deserving of advancement. This also applies to personnel reduced to E-2 from E-3. Personnel reduced from E-3 to E-1 may be advanced to E-2 in accordance with the above provision and must serve six months in pay grade E-2 before advancement to E-3.

4. Personnel who have been reduced in rate to pay grade E-3 and are Class "A" course graduates, will be recommended for restoration in accordance with subparagraph (2) above. It is not necessary for such personnel to compete in the SWE competition for advancement to E-4.

### 5.C.33.c. After Reduction for Incompetence

When the reduction was made for incompetency as distinguished from reduction as punishment, the individual may be recommended to compete in a SWE competition, if required, after meeting the service requirements for one-half the normal period.

### 5.C.33.d. After Voluntary Reduction

Voluntary reduction in rate is usually made in order that the individual concerned may gain a specific goal, such as an assignment to a particular course (Article 5.C.38.d). Personnel in pay grades E-4 or above, who are attending Class "A" or "C" courses for the purpose of change in rating, and who fail to complete the course of instruction because of lack of interest, application or ability shall be disenrolled from the course and reassigned commensurate with the duties of their present rate. Those who formerly held pay grade E-6 and were reduced in order to attend Class "A" course may be restored to their former pay grade provided their disenrollment was not due to lack of interest or application. Other cases of voluntary reduction which appear deserving of restoration may be referred to Commander (CGPC-epm) for final decision.

## 5.C.34. Personnel Data Record Entries

At the time of advancement or change in rating effected by the Monthly Advancement Authorization, make the appropriate Personnel Data Record entries.

## 5.C.35. Master, Senior, Chief, and Petty Officer Certificates

### 5.C.35.a. Procedures

The following **advancement** certificates will be issued to Coast Guard members upon receipt of proper advancement authority:

1. Petty Officer **Advancement** Certificate, DD-216 CG.

2. Chief Petty Officer **Advancement** Certificate, DD-216 CG-4.

3. Senior Chief Petty Officer **Advancement** Certificate, DD-216 CG-1.

4. Master Chief Petty Officer **Advancement** Certificate, DD-216 CG-2.

5. Master Chief Petty Officer of the Coast Guard **Advancement** Certificate, DD-216 CG-3.

### 5.C.35.b. Procuring Petty Officer Advancement Certificates

Petty Officer **Advancement** Certificates shall be procured through the Coast Guard supply system. A sufficient quantity of DD-216's shall be maintained for all members being advanced to E-4, E-5, and E-6.

### 5.C.35.c. Issuing Petty Officer Advancement Certificates

Commanding officers shall issue Petty Officer Advancement Certificates, E-4 through E-6, to their personnel when each monthly advancement announcement is published.

### 5.C.35.d. Chief Petty Officer Advancement Certificates

PSC(adv) will issue Chief Petty Officer certificates when each monthly advancement announcement is published. The **advancement** certificates will be forwarded for presentation to the member and will bear the Master Chief Petty Officer of the Coast Guard's signature in the lower left hand corner and the Commandant's signature in the lower right hand corner.

### 5.C.35.e. Advancement Certificate after Reduction

When issued, the **advancement** certificate becomes the personal property of the recipient and shall not be recalled. It holds no further force if a reduction is effected in accordance with existing instructions. In the event of subsequent advancement after reduction, a new certificate reflecting the new date of rank will be issued.

### 5.C.35.f. Disposition of Petty Officer Certificates

Certificates received for personnel who are no longer attached will be handled in the following manner:

1. Transferred - Certificate will be forwarded to the new unit.

2. Discharged prior to effective date of appointment - Certificate will be returned to issuing office with an explanation.

3. Transferred to Reserve - Certificate will be forwarded to the member's new unit.

## 5.C.36. and 5.C.37. Vacant

## 5.C.38. Reduction in Rate

### 5.C.38.a. General Provisions

1. Reduction in a permanent rate may result from any one of five reasons:

    a. Punishment in accordance with Uniform Code of Military Justice

    b. Incompetency

    c. Request of the individual

    d. Erroneous advancement

    e. Fraudulent advancement

2. No enlisted person shall be reduced more than one pay grade at a time by reason of incompetency, nor shall any enlisted person be reduced for incompetency more than once within a period of three months.

3. When a fraudulent advancement is proven, the effective date of reduction is the date of the original advancement and the difference in pay and allowances will be recouped.

### 5.C.38.b. Reduction in Rate as a Punishment

1. Any enlisted person may be reduced in pay grade by sentence of court-martial in accordance with the provisions of the Uniform Code of Military Justice as set forth in the MCM. Refer to Military Justice Manual, COMDTINST M5810.1 (series).

2. Under the authority of Article 15 of the Uniform Code of Military Justice, a commanding officer may reduce an enlisted person in pay grades E-2 through E-6 to the next inferior pay grade as a NJP, if the individual concerned had previously been advanced or promoted to the pay grade from which demoted by the commanding officer concerned or by an equivalent or lower command. Commanding officers of all commands in the Coast Guard have equivalent authority to effect the authorized advancement of enlisted personnel, and are considered to exercise promotion authority within the meaning of Article 15(b)(2)(D), Uniform Code of Military Justice. Accordingly, commanding officers who have authority to impose NJP under the provision of Article 15, may reduce an enlisted person, except a chief petty officer under their command, to the next inferior pay grade for disciplinary purposes.

## 5.C.38.c. Reduction for Incompetence

1. In effecting a reduction in rate for incompetence, these conditions shall govern:

    a. The reason for the reduction must be solely incompetence as evidenced by the fact that the person is not qualified to perform the duties of his or her rate.

    b. If an individual's evaluation mark for any factor is below a factor average of 2 for any evaluation period, or at any time in the member's commanding officer's judgment the member's competency is questionable, the commanding officer shall make an Administrative Remarks, CG-3307 entry in the Personnel Data Record stating that the individual is a candidate for reduction in rate by reason of incompetence and the following three-month period will constitute a formal evaluation of his or her competency. The entry will clearly identify the factor(s) involved and the exact areas that need improvement. The member will acknowledge this entry by signing the Administrative Remarks, CG-3307. A reevaluation will be performed at the end of the three month period. The reevaluation mark(s) will be entered on the Employee Review Summary and a comment made in the Recommendation Field of the Employee Review indicating progress (or lack of) during the three-month period. If the individual responds to counseling and improves his or her evaluation(s), no further action is required. But if at the end of the three-month period, the individual has failed to demonstrate the required level of professional competency, the reduction shall go into effect or be recommended to higher authority as befits the individual's rate (Article 12.B.9.). If at the end of the three-month period, the individual's factor scores meet the minimum requirements to eliminate the need for reduction of the member by reason of incompetence, but still fall short of the minimum requirements for reenlistment eligibility, the provisions of Article 12.B.9. may apply. In all cases where a reevaluation has been performed, the next regularly scheduled evaluation will be performed at the prescribed date.

2. Action toward reduction for incompetence may be taken as indicated by the following commands:

    a. Only the Commandant may reduce a chief petty officer in rate for incompetence and then only if a fact finding board finds the member unqualified. Boards for this purpose are administrative in nature, and will follow the procedures provided in the Administrative Investigations Manual, COMDTINST M5830.1 (series), with composition, rights of the party, and procedures as required for a formal investigation. The Board for CPO competency shall be forwarded via the member's commanding officer, district commander, Commander, Maintenance and Logistics Command, to Commander (CGPC-epm).Area commanders, Commander, Maintenance and Logistics Command or district commanders may authorize reduction in rate for incompetence of any enlisted person in the first six pay grades.

b. A commanding officer of the grade of lieutenant commander and above may authorize and effect a reduction in rate for incompetence of any enlisted person in the first five pay grades in his or her command.

c. When a commanding officer who does not have authority to authorize the reduction considers an individual in his or her command to be incompetent, he or she shall comply with the procedures of this article and then forward a complete report, board of investigation in the case of a CPO, and a recommendation via the chain of command to the superior having the necessary authority. In each case, the member shall be informed, in writing, that a recommendation for reduction in rate is being submitted and be afforded an opportunity to make a statement in writing. If the member does not desire to make a statement, such fact shall be set forth in writing over the member's signature. If the member refuses to sign a statement, the member's commanding officer will so state in writing.

3. If a reduction for incompetence was made other than in conformity with this article, the next superior in command shall investigate the circumstances and take corrective action, if necessary.

### 5.C.38.d. Reduction in Rate Upon Request of the Individual

1. A request from a chief petty officer for voluntary reduction in rate will be submitted to Commander (CGPC-epm) for action.

2. A commanding officer may authorize and effect a reduction in rate of any enlisted person in his or her command in the first six pay grades at the member’s own written request. The request with reason therefore shall be forwarded to Commander (CGPC-epm) with the action taken noted thereon. Due to the training investment involved, it will not normally be the practice to remove the designator in the case of reduction from E-4 to E-3. If the particular circumstances in a given case warrant removal of designator, such recommendation will be referred to Commander (CGPC-epm) in accordance with Article 5.C.29.c.

3. A petty officer, first class, who requests assignment to a basic petty officer course and receives orders to it, shall be reduced to pay grade E-5 prior to departing present unit.

### 5.C.38.e. Erroneous Advancement

If an enlisted member is advanced in error due to no fault of his or her own and solely as a result of administrative error, the member shall be reduced to the correct rate as of the date the erroneous advancement is noted. In such cases, time in grade in present rating will be computed from the date originally advanced to the correct rate. The member shall not be required to repay any overpayments caused by this erroneous advancement if the following conditions are met:

1. The advancement must have been due to an administrative error.

2. The advancement must have been executed by a competent authority.

3. The member must have performed the duties of the higher grade to which erroneously promoted.

4. The member must apply for a waiver of indebtedness and show that he/she could not reasonably have been expected to know that he/she was being overpaid.

### 5.C.38.f. Effective Date of Reduction in Rate

1. Reduction in rate as a punishment will be effective as specified in MCM 1969. Military Justice Manual, COMDTINST M5810.1 (series).

2. Reduction in rate for incompetency or at the request of the individual concerned will be effective on the date the action is taken, as follows:

   a. When Commander, CGPC, commander, maintenance and logistic command, or district commander authorizes a reduction in rate, the individual's commanding officer will effect the reduction upon receipt of such authorization.

   b. When the commanding officer by his or her own authority authorizes a reduction, such reduction will be effected when the action is completed.

### 5.C.38.g. Personnel Data Record Entries on Reduction in Rate

1. When a person has been reduced to the next inferior pay grade as punishment, entries will be made in the Personnel Data Record.

2. When a person is reduced:

   a. By reason of incompetency; or,

   b. At his or her own request.

## 5.C.39. Frocking of Enlisted Personnel

### 5.C.39.a. Commandant Authority

Under the authority of Section 632, Title 14, U.S. Code, the Commandant has the authority to frock Coast Guard enlisted personnel. Enlisted members above the cutoff on the current Advancement Eligibility List may be considered for "frocking" when:

1. The higher rate is necessary to clearly establish the individual's position when reporting to another agency/Service for duty.

2. The higher rate is necessary to ensure that the individual would be assigned Government quarters commensurate with the rate in which he or she would be serving.

3. In selected instances in which the higher rate is a significant factor in establishing the individual's stature, thereby enhancing his or her ability to carry out his or her duties successfully.

### 5.C.39.b. Request Submission

Requests to frock enlisted personnel, other than the Officers in Charge (OICs) and enlisted members to warrant officer, who meet any of the requirements in paragraph a. of this article will be considered on a case-by-case basis. Commanding officers may request authority from Commander (CGPC-epm-2) to frock enlisted personnel by submitting their request via their normal chain of command.

### 5.C.39.c. Authorization

Authorization to frock enlisted members ordered to fill (OIC) billets, whose names appear above the cutoff on the current Advancement Eligibility List, will be given automatically in the members' official transfer orders issued by Commander (CGPC-epm). Approved frockings will generally be effective upon detachment from a member's current assignment.

### 5.C.39.d. Authorization to Frock to Chief Warrant Officer

Authorization to frock enlisted members to warrant officer will be requested in accordance with Article 5.A.14.

### 5.C.39.e. Entitlements

1. Frocked individuals are authorized to assume the title and wear the insignia of the rate to which frocked.

2. Frocked individuals are entitled to housing commensurate with the rate to which frocked.

3. A new Armed Forces Identification Card, DD Form 2 CG, will be issued to reflect the higher rate.

4. Pay, allowances, and travel entitlements will continue to accrue at the lower permanent rate/pay grade. Pay and allowances of the higher rate/pay grade will accrue from the effective date of actual advancement as listed in the CGPC Advancement Announcement.

5. Enlisted performance evaluation forms shall continue to be submitted in the lower permanent rate as outlined in Chapter 10.B.

6. Frocking does not authorize increased disciplinary powers under Article 15, UCMJ.

7. Time-in-grade computation for retirement and advancement is computed from the date of actual advancement, not the date frocked.

## 5.C.40. Frocking of Enlisted Personnel to Chief Warrant Officer

### 5.C.40.a. Conditions for Frocking

Under the authority of 14 U.S.C. 632, the Commandant may authorize certain benefits of the higher grade to Coast Guard enlisted personnel selected for promotion to chief warrant officer. Enlisted members selected for appointment to chief warrant officer and in receipt of orders may be considered for "frocking" under these circumstances:

1. The member is required to depart his/her unit in order to meet the operational needs of the receiving unit prior to their acceptance of the appointment; or,

2. The member is scheduled to attend Chief Warrant Officer Indoctrination prior to the date of acceptance of the appointment.

### 5.C.40.b. Request Submission

Commanding officers or equivalent shall submit request to CGPC (opm-1) to frock members who meet the requirements of paragraph a.

### 5.C.40.c. Entitlements

Entitlements of frocked personnel are in accordance with Article 5.C.39.d.

## CONTENTS

***5.E. STRIKER PROGRAM*** ***1***

**5.E.1. Striker program** **1**

5.E.1.a. Discussion 1

5.E.1.b. **Eligibility Requirements** 1

5.E.1.c. **Procedure for Placement on a Striker Eligibility List** 2

# 5.E. Striker Program

## 5.E.1. Striker Program

### 5.E.1.a. Discussion

**A viable, effective advancement opportunity for non-rated members is available through the striker program. Strong command support and close attention to the administration of the striker program, within the constraints of on-the-job training opportunities existing at a particular unit, are considered leadership obligations for all supervisors. For specific information concerning individual ratings, members should contact the appropriate Rating Force Master Chief (RFMC).**

### 5.E.1.b. Eligibility Requirements

1. **The following ratings are open to strikers: BM, DC, EM, FS, MK, IV and PS (reservists only), SK, and YN.**

2. **To be recommended for advancement under a striker program, a member must:**

   a. **be serving in paygrade E-3;**

   b. **meet the six month time in paygrade requirement;**

   c. **successfully complete the appropriate rating Performance Qualification Guide (PQG) and exam;**

   d. **successfully complete the Enlisted Professional Military Education (E-PME) performance requirements along with the Advancement Qualification Exam (AQE);**

   e. **have a current Enlisted Employee Review (EER) completed as an E-3;**

   f. **complete required Enlisted Performance Qualification (EPQ); and**

   g. **have no unsatisfactory conduct mark, court-martial conviction, civil conviction, or non-judicial punishment for six months prior to being recommended for advancement and for the entire period between recommendation and advancement. The commanding officer or officer-in-charge will submit a message to PSC (adv), with CGPC-epm-1/epm-2 as an information addressee, to remove from the current striker advancement eligibility list any person who has received a court martial or civil conviction, non-judicial punishment, or unsatisfactory conduct mark after the individual has been recommended for advancement, but has not yet been advanced.**

### 5.E.1.c. Procedure for Placement or Removal on a Striker Eligibility List

1. **When a member is fully qualified for advancement to E-4 in one of the striker ratings, the commanding officer or officer-in-charge should submit a recommendation via message to COGARD PSC TOPEKA KS//ADV// INFO COMCOGARD PERSCOM ARLINGTON VA//EPM-1/EPM-2// for placement on the appropriate striker advancement list. The appropriate format may be found in Exhibit 5.E.1.**

2. **Members will be placed on a respective striker advancement list according to the Date-Time-Group (DTG) of the message. A commanding officer or officer-in-charge may withhold or cancel a recommendation for advancement in accordance with article 5.C.25.**

3. **Members placed on a striker advancement list shall be assigned a designator in accordance with article 5.C.29.b.2.**

4. **The striker advancement lists are updated each month on the PSC (adv) website. Personnel are advanced from these lists to paygrade E-4 via monthly enlisted personnel advancement announcements to fill service wide vacancies in each rating.**

**SAMPLE MESSAGE FOR PLACEMENT ON STRIKER ADVANCEMENT LIST**

SUBJ: ACTIVE DUTY (OR RESERVE) STRIKER ADVANCEMENT LIST
1. LIST FOR WHICH RECOMMENDATION IS SUBMITTED
2. MBR RATE (SN OR FN), NAME, AND EMPLID
3. DATE OF RANK AS AN E-3
4. COMPLETION DATES FOR:
   A. RATING EOCT OR PQG EXAM
   B. E-PME AQE
   C. RATING EPQ
   D. E-PME PERFORMANCE AND KNOWLEDGE REQUIREMENTS
5. EFFECTIVE DATE OF MBRS LAST EER AS AN E-3 ALONG WITH A STATEMENT INDICATING WHETHER THE MBR MEETS THE MINIMUM TOTAL FACTOR MARKS, GOOD CONDUCT CRITERIA, WEIGHT STANDARDS, AND RETAINS THE COMMANDS RECOMMENDATION FOR ADVANCEMENT.
6. A STATEMENT THAT ALL RELEVANT DIRECT ACCESS DATA HAS BEEN VERIFIED AND IS VIEWABLE IN DIRECT ACCESS.
7. UNIT POC, CONTACT E-MAIL, AND PHONE NUMBER
8. RELEASED BY (NAME OF COMMANDING OFFICER OR OINC)

BT

2. Attendance of a member of the Board of Directors of a Coast Guard credit union at meetings of associations, leagues, or councils formed by Coast Guard credit unions, which has a purpose directly relating to the Coast Guard Credit Union Program.

3. Participation in inter- or intra-Service sporting events. Participation includes providing essential support services.

4. Participation in U. S. Olympic or other national or internationally sanctioned athletic competitions or tryouts.

5. Participation in other official or semi-official programs of the Coast Guard for which TEMADD or TEMDU is not appropriate. The programs shall enhance the member's value to the Coast Guard or understanding of the Coast Guard.

6. Participation in **non-sectarian national youth organization activities.**

7. **Participation in events, activities, or gatherings, which have been approved by local commands because of the potential positive impact on the Coast Guard within the local community.**

**8.** Relocation and Familiarization: Members in receipt PCS orders are authorized up to ten consecutive days of administrative absence to travel to the area of their new duty station for house hunting and familiarization. The ten days may be extended by combining with weekends, holidays, leave, liberty, or TAD. Commanding officers shall carefully screen requests for TAD to ensure these orders are not being used as a means to defray transportation expenses to and from the place of permissive travel. (Note: This should not be confused with "Operational Familiarization" travel, which is a member's travel to the new permanent duty station when the receiving command has an operational need for that member. TAD travel is appropriate for this type of travel). To avoid any perception of abuse, combining funded Operational Familiarization with no cost Relocation or Familiarization travel is not authorized. While the purpose of this "administrative absence" is to travel to the new duty station, there are limited circumstances when it may be appropriate for the new duty station to grant up to ten consecutive days absence after reporting. Those circumstances are when the member:

a. Was unable to execute permissive orders under this section due to distance, cost, absence on temporary duty, or family relocation problems, and

b. Will not be authorized government-owned or leased housing at the new station.

**9.** Family Relocation to the area of the member's new duty station. If a member is issued and must execute PCS orders on short notice (less than 60 days), commanding officers may authorize up to ten consecutive days absence to allow the member to return to their old duty stations to relocate their families to their

new duty stations. The ten consecutive days absence may be extended under the same conditions as Article 7.A.10.b.7. Any members transferred PCS under this condition are entitled to ten days administrative absence even if they are authorized Government-owned or -leased housing at the new duty station.

**10**. The Hometown Recruiting Program, for graduates of Recruit Training, Class "A" Training, the Coast Guard Academy, and Officer Candidate School, allows them an opportunity to return to their recruiting offices before reporting to or while serving at their first duty station for a period of up to 30 days. Their task is to relate recruit training, "A" School, Academy, and officer training experience to prospects and applicants in the recruiting office or during school visits, career fairs, and public displays. Participating in the Hometown Recruiting Program depends on recruiting needs, the impact on the graduate's career, and affect on the new duty station. The recruiting office must request the graduate before permissive orders will be granted. Based on recruiting needs, these officers may authorize up to 30 days of permissive orders to participate in the Hometown Recruiting Program:

a. Commanding Officer, Training Center Cape May for those who have successfully completed recruit training.

b. The commanding officer of the cognizant training command for those who have successfully completed Class "A" School training.

**11**. Up to five days can be authorized to attend to associated family needs immediately following the birth or adoption of a child. Female members may not combine this with maternity leave.

**12**. Retiring members and members separated involuntarily may be authorized up to 20 days (if separated INCONUS), or 30 days (if separated OCONUS), of administrative absence to conduct pre-separation job search and house hunting/relocation activities prior to the effective date of separation. The administrative absence can be taken in consecutive days, including weekends and holidays; in increments, not to exceed the authorized total based on the location of their last duty station; or, in connection with leave en route to home with no intent to return to their last permanent duty station. This includes leave en route to a retirement processing point. Article 12.C.1.d.

**a. Members serving on a Retired Recall Status are not entitled to this administrative absence unless they commenced their retired period immediately following retirement and have never taken this period of absence before.**

## 7.A.10.c. Unauthorized Travel

1. Permissive Travel for relocation or familiarization shall not be authorized in the following circumstances:

## *CONTENTS*

***8.B. CIVIL ARREST AND CONVICTION*** ***2***

**8.B.1. General Information** **2**

**8.B.2. Report of Arrest** **2**
8.B.2.a. Notification of Civil Arrest 2
8.B.2.b. Required Reports 2
8.B.2.c. Notification of Next of Kin 2

**8.B.3. Report of civil conviction** **3**
8.B.3.a. Required Reports 3
8.B.3.a. Submission of Reports 3

**8.B.4. Disciplinary action after civil arrest and trial** **3**
8.B.4.a. Coast Guard Policy 3
8.B.4.b. Performance Evaluations 3

**8.B.5. Acceptance of Coast Guard personnel from civil authorities when** **4**
**civil charges are pending** **4**
8.B.5.a. Granting Leave 4
8.B.5.b. Release to Coast Guard 4
8.B.5.c. Prior to Release 4

# 8.B. Civil Arrest and Conviction

## 8.B.1. General information

1. Article 7.A covers granting leave in connection with arrest by civilian authorities.

2. The Coast Guard Pay Manual, COMDTINST M7220.29 (series), covers deductible time due to arrest by civilian authorities.

3. The Manual for Courts-Martial, and the Coast Guard Military Justice Manual, COMDTINST M5810.1 (series), governs delivering Coast Guard members to civilian authorities.

4. **The provisions of this article apply equally to reservists, regardless of members' reserve status at the time of the civil arrest or conviction.**

5. The administrative requirements imposed by this article and the **Military Personnel Security Program**, COMDTINST M5520.12 (series), shall not be delegated to units below the **Sector** level.

## 8.B.2. Report of arrest

### 8.B.2.a. Notification of Civil Arrest

**Any Coast Guard member arrested or detained by civil authorities shall immediately advise their commanding officer, OOD or DCO and state the facts concerning such arrest and detention.** Notifications of civil arrest shall be made using Personnel Action Security Request CG-5588, as required by the **Military Personnel Security Program**, COMDTINST M5520.12 (series).

### 8.B.2.b. Required Reports

When it is anticipated that final action by civil authorities will occur within a few days of the arrest, the **Military Personnel Security Program**, COMDTINST M5520.12 (series) authorizes submission of a single report covering the arrest and subsequent action. When final action by the civil authorities will be delayed, an arrest report will be made promptly and followed by a final action report. In prolonged cases, interim reports should be submitted at 30-day intervals as required COMDTINST M5520.12 (series).

### 8.B.2.c. Notification of Next of Kin

1. When an enlisted member is awaiting trial in a civil court and charged with the commission of a felony, the commanding officer should impress upon the member the desirability of informing his or her parents, spouse, or guardian as appropriate, of the circumstances.

2. In those cases where the member is under 21 years of age, and where it appears that the parents, spouse, or guardian will not be otherwise informed of the proceedings, the commanding officer should inform the parents, spouse, or guardian, by letter or other form of communication, of the details considered pertinent and proper under the circumstances.

## 8.B.3. Report of civil conviction

### 8.B.3.a. Required Reports

All civil convictions shall be reported as required by the **Military Personnel Security Program**, COMDTINST M5520.12 (series).

### 8.B.3.b. Submission of Reports

A copy of the CG-5588 used to report any civil *conviction* shall be submitted to Commander, (CGPC-opm) or (CGPC-epm), as applicable, and (CGPC-adm-3).

## 8.B.4. Disciplinary Action after Civil Arrest and Trial

### 8.B.4.a. Coast Guard Policy

Coast Guard policy is against trial by court-martial for the same act(s) for which a member has already been tried by a state or foreign country; see the Military Justice Manual, COMDTINST 5810.1 (series), Article 2-B-4.

**Normally, reservists are subject to the UCMJ only while performing inactive or active duty. However, the Coast Guard may impose administrative measures on reservists, regardless of reserve status, for discrediting acts or behavior identified through civilian law enforcement apprehension, arrest, or conviction, or through other evidence. These measures include, but are not limited to performance evaluations, documentation of substance or alcohol abuse, separation and suspension of driving privileges, etc.**

### 8.B.4.b. Performance Evaluations

Actions resulting in a civil court conviction bring discredit upon the Coast Guard and, except for minor traffic violations, shall be reflected in the performance evaluations of both officer and enlisted members. A description of the unacceptable conduct shall be set forth in the performance evaluation rather than merely referencing, without elaboration, the fact of conviction. For example; if a member stabbed a person, the circumstances surrounding the stabbing should be described, and not the legal conclusion that the member assaulted a person. The underlying conduct, not merely the fact of conviction, reflects negatively on the Coast Guard.

## 8.B.5. Acceptance of Coast Guard Personnel from Civil Authorities when Civil Charges are Pending

### 8.B.5.a. Granting Leave

Members released on bail or their own recognizance may be made available for trial as Article 7.A.17 provides.

### 8.B.5.b. Release to Coast Guard

Normally, it is desirable to have Coast Guard members placed in the Coast Guard's custody rather than remaining in jail. Commanding officers shall contact the civil authorities concerning the member's release. Members released to Coast Guard custody must be made available to civil authorities on demand.

### 8.B.5.c. Prior to Release

Before arranging for the release of a member to Coast Guard custody, consideration should be given to the following factors:

1. The nature of the alleged offense(s);

2. The physical and mental condition of the accused;

3. The impact of the member's presence on the unit; and

4. The unit's ability to ensure the member will be available at the request of the civilian authorities.

# CONTENTS

**8.D. DISSIDENT AND PROTECT ACTIVITIES 1**

**8.D.1. POLICY 2**

**8.D.2. SPECIFIC GUIDELINES 2**

8.D.2.a. Possession and Distribution of Printed Materials 2
8.D.2.b. Off-Post Gathering Places 2
8.D.2.c. Servicemen's Organizations 3
8.D.2.d. Publication of "Underground Newspapers" 3
8.D.2.e. On-Post Demonstrations and Similar Activities 3
8.D.2.f. Off-Post Demonstrations by Members 3
8.D.2.g. Grievances 3

# 8.D. Dissident and Protest Activities

## 8.D.1. Policy

The right of expression of a member of the Coast Guard should be preserved to the maximum extent possible, consistent with good order, discipline, and the national security. On the other hand, no commanding officer should be indifferent to conduct which, if allowed to proceed unchecked, would destroy the effectiveness of the unit. The proper balancing of these interests will depend largely upon the calm and prudent judgment of the responsible commanding officer.

## 8.D.2. Specific Guidelines

### 8.D.2.a. Possession and Distribution of Printed Materials

1. The commanding officer is not authorized to prohibit the distribution of a specific issue of publication distributed through official outlets such as post exchanges and military libraries. In the case of distribution of publications through other than official outlets, a commanding officer may require that prior approval be obtained for any distribution on a military installation in order that he or she may determine whether there is a clear danger to the loyalty, discipline, or morale of military personnel, or if the distribution of the publication would materially interfere with the accomplishment of a Coast Guard mission. When he or she makes such a determination, the distribution will be prohibited.

2. While the mere possession of unauthorized printed material may not be prohibited, printed material which is prohibited from distribution shall be impounded if the commanding officer determines that an attempt will be made to distribute.

3. The fact that a publication is critical of Government policies or officials is not, in itself, a ground upon which distribution may be prohibited.

### 8.D.2.b. Off-Post Gathering Places

1. **In accordance with a joint Army Regulation, 190-24, Armed Forces Disciplinary Control Boards and Off-Installation Liaison and Operations, which encompasses COMDTINST 1620.1D, commanding officers shall establish "off-limits" areas to help maintain good order and discipline, health, morale, safety, and welfare of service members.**

2. **As per this joint regulation, commanders retain substantial discretion to declare establishments or areas temporarily off-limits to personnel of their respective command in emergency situations. Temporary off-limits restrictions issued by Commands in emergency situations will be acted upon by the Armed Forces Disciplinary Control Boards as a first priority. As a matter of policy, a change in ownership, management, or name of any off-limits establishment does not, in and of itself, revoke the off-limits restriction.**

3. **In addition, service members are prohibited from entering establishments or**

**areas declared off-limits. Violations of this regulation may subject the member to disciplinary action under the Uniform Code of Military Justice (UCMJ). Commands shall maintain an established listing of "off-limits" locations and service members shall be made aware of these locations.**

### 8.D.2.c. Servicemen's Organizations

Commanding officers are not authorized to recognize or to bargain with a so-called "servicemen's union."

### 8.D.2.d. Publication of "Underground Newspapers"

Members writing for publication may not be pursued during duty hours, or accomplished by the use of Government or non-appropriated fund property. While publication of "underground newspapers" by military personnel off-post, on their own time and with their own money and equipment, is not prohibited, if such a publication contains language, the utterance of which is punishable under Federal law, those involved in the printing, publication, or distribution may be disciplined for such infractions.

### 8.D.2.e. On-Post Demonstrations and Similar Activities

The commanding officer of a Coast Guard unit shall prohibit any demonstration or activity at the unit which could result in interference with or prevention of orderly accomplishment of the mission of the unit, or present a clear danger to loyalty, discipline, or morale of the troops. It is a crime for any person to enter a military reservation for any purpose prohibited by law or lawful regulations, or for any person to enter or re-enter an installation after having been barred by order of the commanding officer. (18 U.S.C. 1382)

### 8.D.2.f. Off-Post Demonstrations by Members

Members of the Armed Forces are prohibited from participating in off-post demonstrations when they are on duty, or in a foreign country, or when their activities constitute a breach of law and order, or when violence is likely to result, or when they are in uniform in violation of the Coast Guard Uniform Regulations, COMDTINST M1020.6 (series).

### 8.D.2.g. Grievances

The right of members to complain and request redress of grievances against actions of their commanding officers is protected by Article 138 of the Uniform Code of Military Justice. In addition, a member may petition or present any grievance to any member of Congress (10 U.S.C. 1034). An open door policy for complaints is a basic principle of good leadership, and commanding officers should personally assure themselves that adequate procedures exist for identifying valid complaints and taking corrective action.

## CONTENTS

***10.A. OFFICER EVALUATION SYSTEM*** ***1***

**10.A.1. GENERAL 1**
10.A.1.a. Purpose 1
10.A.1.b. Policy 1
10.A.1.c. Definitions 1
10.A.1.d. System Goals 3

**10.A.2. RESPONSIBILITIES 4**
10.A.2.a. The Rating Chain 4
10.A.2.b. Commanding Officers 4
10.A.2.c. Reported-on Officer 6
10.A.2.d. Supervisor 7
10.A.2.e. Reporting Officer 9
10.A.2.f. Reviewer 11
10.A.2.g. Rating Chain Exceptions 13
10.A.2.h. OER Administrator 14
10.A.2.i. Commander, Coast Guard Personnel Command 15

**10.A.3. SUBMISSION SCHEDULE 16**
10.A.3.a. Regular OERs 16
10.A.3.b. OER Waivers 30
10.A.3.c. Exception OERs 30
10.A.3.d. Evaluation of Performance while Recalled to Active Duty from Retired Status 32
**10.A.3.e. Reserve Specific OERs 33**

**10.A.4. PREPARATION AND PROCESSING OF EVALUATION REPORTS 37**
10.A.4.a. General 37
10.A.4.b. Forms 38
10.A.4.c. Preparation 38
10.A.4.d. Format for Reviewer Comments 47
10.A.4.e. OER Administrator 47
10.A.4.f. Restrictions 48
10.A.4.g. Reported-on Officer Reply 49
10.A.4.h. Derogatory Reports 51
10.A.4.i. Format for Addendum 52
10.A.4.j. Review of OERs at Coast Guard Personnel Command 52
10.A.4.k. Correction of OERs 53

**10.A.5. PREPARATION AND USE OF THE DUTY UNDER INSTRUCTION (DUINS) OER 53**
10.A.5.a. General 53
10.A.5.b. Designation of Rating Chain Members 54
10.A.5.c. Preparation 56

**10.A.6. PREPARATION AND USE OF THE OSF WORKSHEET 57**
10.A.6.a. General 57
10.A.6.b. Functions of the OSF 58
10.A.6.c. The Form 58
10.A.6.d. Preparation 59
10.A.6.e. Disposition of the OSF 61

**10.A.7. CORRECTION OF MILITARY RECORDS 62**

**10.A.8. OES CHANGES _____ 62**
10.A.8.a. General _____ 62
10.A.8.b. Participation _____ 63

# 10.A. Officer Evaluation System

## 10.A.1. General

This chapter applies to both active duty (ADPL) and reserve (IDPL) officers. Expanded reserve-specific guidance is provided as necessary. Commander, Coast Guard Personnel Command manages the officer evaluations system for all Coast Guard officers.

### 10.A.1.a. Purpose

The Coast Guard Officer Evaluation System (OES) has been designed to:

1. Provide information for important personnel management decisions. Especially significant among these decisions are promotions, assignments, and career development.

2. Set performance and character standards to evaluate each officer.

3. Prescribe organizational values by which each Coast Guard officer can be described.

4. Provide a means of feedback to determine how well an officer is measuring up to the standards.

### 10.A.1.b. Policy

1. Commanding officers must ensure accurate, fair, and objective evaluations are provided to all officers under their command. To that end, performance evaluation forms have been made as objective as possible, within the scope of jobs and tasks performed by officers. In using the Officer Evaluation Form, CG-5310 (series), strict and conscientious adherence to specific wording of the standards is essential to realizing the purpose of the evaluation system.

2. Individual officers are responsible for managing their performance. This responsibility entails determining job expectations, obtaining sufficient performance feedback, and using that information to meet or exceed standards.

### 10.A.1.c. Definitions

The following terms apply to the officer evaluation system:

1. Officer Evaluation System (OES). The Coast Guard system which addresses performance appraisal of its officers.

2. Officer Evaluation Reports (OER). Form CG-5310 (series), used to document Coast Guard officers' performance and potential. Key elements of the form are as follows:

a. Performance Dimensions. The items on which the Coast Guard evaluates its officers (e.g. writing, judgment, etc.).

b. Evaluation Areas. The four major performance categories into which all performance dimensions are grouped (e.g. Performance of Duties, Leadership Skills, etc.).

c. Performance Standards. The prescribed expectation levels within each performance dimension. The standards are written to provide a common frame of reference among rating officials to which an officer's observed performance and qualities may be compared. Each dimension has three separate written standards of performance:

| | |
|---|---|
| Below standard | Describes performance not measuring up to the levels expected |
| Standard | Describes the high level of performance expected of all Coast Guard officers |
| Above standard | Describes superlative performance |

3. Officer Support Form (OSF) CG-5308. The worksheet used to describe duties, establish goals, document accomplishments, and facilitate performance feedback.

4. Rating Chain. The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER as defined by the following roles:

a. Reported-on Officer. The subject of the OES. All commissioned officers of the Coast Guard are evaluated periodically. Flag officers are evaluated under a separate system.

b. Supervisor. Normally, the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.

c. Reporting Officer. Normally the Supervisor's supervisor.

d. Reviewer. Normally the Reporting Officer's supervisor.

5. Performance Feedback. No specific form or forum is prescribed for performance feedback. Performance feedback occurs whenever a subordinate receives advice or observations related to their performance in any evaluation area. Performance feedback can take place formally (e.g., during a conference) or informally (e.g., through on-the-spot comments). Regardless of the forum, each officer should receive timely counseling and be clear about the feedback received. If the

feedback is not fully understood, it is the Reported-on Officer's responsibility to immediately seek clarification and the rating chain's responsibility to provide it.

### 10.A.1.d. System Goals

1. Personnel Management. The OES is an important part of the Coast Guard officer personnel management system. It supplies information to Commander, (CGPC-opm) and Commander (CGPC-rpm) for personnel management decisions in a variety of areas.

   a. Promotion. Throughout their careers, Coast Guard officers are selected for promotion to the next grade by boards of officers. Except for promotion to the grade of lieutenant (junior grade), more officers are eligible for promotion than are authorized under budget and statutory constraints. The cumulative file of officer performance evaluations provides one of the bases for selection of the best qualified officers from among those eligible.

   b. Assignment. Prior performance, personal qualities, and potential for increased responsibilities, as documented in each officer's OER file, are important considerations in decisions made by assignment managers and panels. While a number of other factors such as billet requirements, experience, personal desires, and availability are also considered, the high level of competition for many assignments places even greater emphasis on performance.

   c. Career Development. Career development is a cooperative process that seeks to meet immediate and future Coast Guard needs while satisfying the personal and professional aspirations of individual officers. The OES is a vehicle for performance feedback and career counseling by the rating chain and assignment managers.

   d. Performance Feedback. Performance feedback is an essential part of every officer's career development. Performance feedback by use of the OSF is the prescribed format for ensigns and lieutenants (junior grade). However, rating chains are strongly encouraged to provide timely performance feedback during and at the end of each reporting period for all officers. Rating chains are strongly encouraged to provide a copy of the completed OERs to reported-on-officers prior to submission of the OERs to OER administrators.

2. Command and Control. The OES reinforces command authority by providing a clear delineation of the span of control and responsibility. While missions and resources primarily dictate organization, the OES can assist commanding officers in delineating lines of authority and responsibility, and ensuring common understanding of responsibilities.

3. Maintenance of Coast Guard Values and Standards. Each officer is evaluated in the OES, not only regarding job achievements, but also on common professional values and Service standards. These values are not only customs, but conditions of employment in the Coast Guard. They are defined by the performance dimensions and standards listed on the OER.

## 10.A.2. Responsibilities

### 10.A.2.a. The Rating Chain

The rating chain provides the assessment of an officer's performance and value to the Coast Guard through a system of multiple evaluators and reviewers who present independent views and ensure accuracy and timeliness of reporting. It reinforces decentralization by placing responsibilities for development and performance evaluation at the lowest levels within the command structure. The rating chain consists of the following members:

1. The Reported-on Officer
2. The Supervisor
3. The Reporting Officer
4. The Reviewer

### 10.A.2.b. Commanding Officers

1. Designation. Commanding officers are responsible to ensure members of the rating chain carry out their OES responsibilities. For the purpose of these instructions, commanding officers include area and district commanders, commanders of maintenance and logistics commands, commanding officers of Headquarters units and subordinate units or organizations and cutters.

2. Responsibilities. Commanding officers:

   a. Implement the OES within their commands.

   b. Designate and publish the command's rating chains.

   c. Provide copies of rating chains to OER Administrators.

   **d.** Assist and encourage the professional growth and knowledge of assigned officers by **publishing the contents of Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).**

   e. Establish procedures that ensure timely submission of reports. Ensure that OERs for officers eligible for promotion or panel action are not delayed.

f. Provide local oversight and accountability for the proper preparation of OERs. Commanding officers are encouraged to monitor OERs submitted by the designated rating chain within their commands as a means of ensuring consistency.

g. Encourage supervisors and reporting officers to properly counsel subordinates by providing them timely feedback at the end of each reporting period and providing copies of completed OERs to them prior to submission to the OER administrator.

h. Encourage recurring training, for all officers within their commands, on the intent and procedures of the OES.

i. Obtain formal training from Commander (CGPC-opm) or Commander (CGPC-rpm) for civilian employees of the Coast Guard who must perform the duties of either Supervisor or Reporting Officer. Civilians shall not be assigned to a rating chain before receiving OES training certification from Commander (CGPC-opm) or Commander (CGPC-rpm) and having incorporated the OES rating chain responsibilities in their Core Competencies.

j. Apply the following guidelines to officers who are unable to fully perform due to illness, injury, pregnancy, etc.

   (1) Periodically, officers may experience circumstances due to a temporary condition which result in a limited opportunity to perform. These circumstances may involve specific performance restrictions (e.g., those imposed by a medical authority), which require restructuring or reassignment of duties. While no preferential treatment shall be given, commanding officers shall ensure that these individuals do not receive below standard evaluations strictly as a consequence of these circumstances.

   (2) Commanding officers, in consultation with the health care providers, must establish a “reasonable expectation of performance” given the individual’s current circumstances. In particular, commanding officers must determine whether or not an individual requires reassignment to a different work environment and/or restrictions on performing specific types of tasks. Additionally, reduced work hours may be necessary. When considering reassignment or restructuring of duties, commanding officers should strive to identify service needs which complement the temporarily limited abilities of the officer.

k. Ensure performance in meeting requirements of the Coast Guard occupational health and safety program are documented appropriately and consistently with the Reported-on Officer’s assigned responsibilities and authority (This paragraph complies with Article 1960.11 of 29 CFR XVII.).

### 10.A.2.c. Reported-on Officer

1. Designation. The subject of the OES. All Coast Guard commissioned officers, except flag officers, are evaluated periodically.

2. Responsibilities. The Reported-on Officer:

   a. Learns the intent and procedures of the OES and identifies the members of the rating chain from the published list.

   b. Requests an appointment with the Supervisor, to occur not later than 21 days before the beginning of each reporting period, if clarification of duties and areas of emphasis is needed. This information may be delineated on the optional OSF worksheet or other format as specified by the Supervisor. A meeting shall be requested not later than seven days after reporting aboard a new unit.

   c. As necessary, seeks performance feedback from the Supervisor during the period.

   d. Prepares OER Section 1, Administrative Data, and Section 13, Return Address (found on page 4 of the OER form), and forwards the OER with proposed OER attachments to the Supervisor not later than 21 days before the end of the reporting period.

   e. May submit to the Supervisor not later than 21 days before the end of the reporting period a listing of significant achievements or aspects of performance which occurred during the period. Submission is at the discretion of the Reported-on Officer, unless directed by the Supervisor. The optional OSF worksheet may be used. Supplemental information may be submitted through the end of the reporting period.

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

   g. Informs Commander (CGPC-rpm) or Commander (CGPC-opm-3) directly by written communication (e.g. e-mail) if the **original validated** OER has not been received 90 days after the end of the reporting period. The correspondence shall include a return address, phone number, period of report, and rating chain names with phone numbers.

   h. Ensures that all days of commissioned service are covered by OERs. If an OER is missing or a gap in coverage exists, informs the appropriate rating chain. The rating chain shall take necessary action to correct the discrepancy.

   i. Ensures that other than Coast Guard rating officials are provided a copy of these instructions, appropriate forms, and other literature provided by

Commander (CGPC-opm) or Commander (CGPC-rpm).

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j. Reviews COMDTINST 1401.5 (series) and COMDTINST M1500.10 (series) and manages performance to ensure that OERs are not delayed when eligible for promotion or applying for advanced training.

k. Assumes ultimate responsibility for managing own performance, notwithstanding the responsibilities assigned to others in the rating chain. This includes ensuring performance feedback is thorough, and that OERs and associated documentation are timely and accurate.

3. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). All Reported-on Officers in these grades must request initial and end-of-period meetings with their Supervisors and must submit a summary of achievements and other aspects of performance prescribed in subparagraphs b., e., and f. above. In cases of geographic separation, telephone or written exchange of information may suffice.

## 10.A.2.d. Supervisor

1. Designation.

a. Normally the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.

b. Coast Guard officers, officers of other U.S. Armed Forces, officers of Foreign Armed Services (who serve in a supervisory capacity for the Reported-on Officer), U.S. Public Health Service officers, and U.S. government civilian employees may serve as Supervisors. The supervisor of a reserve officer may be either an active duty or reserve officer or individual stated above. If the Supervisor is not a Coast Guard employee, specify which branch of service (i.e., USN, USA, USAF, DOD) in section 6a. of the OER Form.

c. The Supervisor will normally be senior to the Reported-on Officer. However, in appropriate situations, the Supervisor may be designated, regardless of grade relative to the Reported-on Officer.

d. When an officer responds to more than a single individual for different functions, the commanding officer shall appoint one individual to the position of Supervisor (to whom all secondary supervisors will provide evaluation input).

e. When a situation exists which requires concurrent reports, dual supervision may also exist. In such instances, different Supervisors may be appointed for each rating chain.

2. Responsibilities. The Supervisor:

   a. Evaluates the performance of the Reported-on Officer in the execution of duties.

   b. Provides direction and guidance to the Reported-on Officer regarding specific duties and responsibilities.

   c. Discusses at the beginning of the period, upon request, or when deemed necessary, the Reported-on Officer's duties and areas of emphasis. The optional or **required** OSF worksheet, or other format specified by the Supervisor, may be used as an aid.

   d. Encourages the use of the optional/**required** OSF worksheet, or other convenient means, to note important aspects of the Reported-on Officer's performance during the reporting period. Significant events, problems, achievements, failures, or personal qualities should be noted.

   e. Provides timely performance feedback to the Reported-on Officer upon that officer's request during the period, at the end of each reporting period and at such other times as the Supervisor deems appropriate.

   f. Counsels the Reported-on Officer at the end of the reporting period if requested, or when deemed appropriate, regarding observed performance. Discusses duties and responsibilities for the subsequent reporting period and makes suggestions for improvement and development.

   g. Finalizes the optional or **required** OSF worksheet, if used; Articles 10.A.6.d. and e.

   h. Prepares the Supervisor's sections (2-6) of the OER; Article 10.A.4.c

   i. Initiates an OER if the Reported-on Officer is unavailable, unable, or unwilling to perform in a timely manner. Forwards the OER, the OSF worksheet (if used or **required**), OER attachments, and any other relevant performance information to the Reporting Officer not later than 10 days after the end of the reporting period.

   j. Provides the new Supervisor with a draft of OER sections (3-6) when the Supervisor changes during a reporting period. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation. It shall be prepared and signed by the departing Supervisor prior to departure.

## 10.A.2.e. Reporting Officer

1. Designation.

   a. The Reporting Officer is normally the supervisor of the Supervisor.

   b. Coast Guard officers, officers of other U.S. Armed Forces, officers of Foreign Armed Services, U.S. Public Health Service officers, and U.S. government civilian employees may serve as Reporting Officers. The reporting officer of a reserve officer may be either an active duty or reserve officer or individual stated above. If Reporting Officer is not a Coast Guard employee, specify which branch of service (i.e., USN, USA, USAF, DOD) in section 11a. of the OER Form.

   c. The Reporting Officer will normally be senior to the Reported-on Officer. Except for commanding officers, at least two year groups should normally separate these rating chain positions if they are of the same grade. Commander (CGPC-opm) or Commander (CGPC-rpm) will handle exceptions to this policy on a case-by-case basis.

   d. The Reporting Officer for an officer other than the commanding officer, will normally be designated no higher than the unit's commanding officer.

   e. The following officers in the grade of LT or above, or civilian members of the Coast Guard Senior Executive Service (SES), can be both Supervisor and Reporting Officer for their immediate subordinates:

      (1) Commanding Officers.

      (2) Headquarters: Assistant Commandants, Directors, Deputy Directors, Office and Division Chiefs.

      **(3) Deputy Commanders, Executive Officers, Chiefs of Staff, Division and Branch Chiefs and Staff Chiefs (result of vertical alignment with Sectors) at:**

         **(a) Area Commands (LANTAREA, PACAREA – not Area sub units).**

         **(b) Maintenance and Logistics Commands (MLCLANT, MLCPAC – not MLC sub units).**

         (c) Districts.

         (d) Headquarters units.

Any exceptions not specifically cited herein must be authorized by Commander (CGPC-opm) or Commander (CGPC-rpm). See j. below on Reporting Officers for captain evaluations.

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

g. The Reporting Officer for an officer assigned to another Service's staff or mission will be the commanding officer or senior staff officer to whom the Reported-on Officer is assigned.

h. The Reporting Officer of officers under direct supervision of civilian employees outside the Coast Guard but within the Department of Homeland Security (DHS) shall be designated by appropriate DHS directive.

i. The Headquarters program manager who exercises technical responsibility for the program will be the Reporting Officer for officers assigned to duty in civilian agencies other than DHS or in liaison service with other governments.

j. The Reporting Officer for all captains must be a flag officer or a civilian member of the Coast Guard Senior Executive Service (SES). This requirement is not mandatory for assignments outside the Coast Guard.

2. Responsibilities. The Reporting Officer:

a. Bases evaluation on direct observation, the OSF or other information provided by the Supervisor, and other reliable reports and records.

b. Describes the demonstrated leadership ability and the overall potential of the Reported-on Officer for promotion and special assignment such as command. Prepares Reporting Officer sections of the OER; Article 10.A.4.c.

c. Ensures the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations. The Reporting Officer shall return a report for correction or reconsideration, if the Supervisor's submission is found inconsistent with actual performance or unsubstantiated by narrative comments. The Reporting Officer **shall** not direct that an evaluation mark or comment be changed (unless the comment is prohibited under Article 10.A.4.f.).

d. Forwards the completed OER to the Reviewer; returns the OSF, if used/**required** to the Reported-on Officer.

e. Initiates an OER if the Supervisor does not perform in a timely manner. Ensures the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.

f. Provides timely performance feedback to the Reported-on Officer at the end of each reporting period and at such other times as the reporting officer deems appropriate.

g. If the Reporting Officer changes and a complete OER is not submitted, the departing Reporting Officer shall provide the new Reporting Officer a draft of the applicable OER sections. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation, prepared and signed by the departing Reporting Officer; Article 10.A.3.a.

h. An outgoing Reporting Officer shall provide a written report to the new Reporting Officer listing those officers for whom the outgoing Reporting Officer is preparing complete OERs and for whom signed OER drafts have been provided.

### 10.A.2.f. Reviewer

1. Designation.

a. The Reviewer is normally the Supervisor of the Reporting Officer. While the Supervisor and Reporting Officer are specific individuals, the Reviewer is a position designated by competent authority, which in certain circumstances may be junior to the Reporting Officer. The officer occupying that position has a definite OES administrative function and may perform an evaluative function.

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

c. A commanding officer may serve as Reviewer for a Reported-on Officer if that commanding officer is not otherwise in the Reported-on Officer's rating chain. (For any officer at a major command whose position is lower than the department head level, the rating chain should be structured so that the Reviewer is no higher than the commanding officer.) In certain situations (e.g., CO on extended TAD), Executive Officers and Deputy Commanders serving in an "Acting" capacity may sign as reviewer if not otherwise in the rating chain. "For" signatures are not authorized under any circumstances.

d. Flag officers shall serve as Reviewers on those reports for which they are Reporting Officers. Civilian members of the Senior Executive Service (SES)

may serve as Reviewers on those reports for which they are Reporting Officers. Only flag officers or SES members may serve as Reviewers on OERs for which they have also been Reporting Officers. When a flag officer or SES member serves as both Supervisor and Reporting Officer on the same OER, the following will serve as Reviewer:

| SUPERVISOR/REPORTING OFFICER | REVIEWER |
|---|---|
| Headquarters Assistant Commandant | Chief of Staff |
| Area Commander | Vice Commandant |
| MLC Commander | Area Commander |
| District Commander | Area Commander |
| All Others | Vice Commandant |

e. No one may serve as Supervisor, Reporting Officer, and Reviewer on the same OER except for the Commandant (G-C); and Commandant (G-L); the latter may sign as Supervisor, Reporting Officer, and Reviewer for the OER of the Coast Guard's Chief Trial Judge.

f. The responsible Headquarters **or Area** program manager will be the Reviewer for reports of officers assigned to other Services or agencies as liaison officers. If no appropriate program manager is obvious, Commander (CGPC-opm) or Commander (CGPC-rpm) will identify, or act, as a Reviewer.

g. The Reviewer of a Captain's OER must be a flag officer or Coast Guard SES member except in the case of captains assigned to Senior Service Schools, in which case the Reviewer is the appropriate program manager.

2. Responsibilities. The Reviewer:

a. Ensures the OER reflects a reasonably consistent picture of the Reported-on Officer's performance and potential.

b. Adds comments as necessary, using form CG-5315 (series), that further address the performance and/or potential of the Reported-on Officer not otherwise provided by the Supervisor or Reporting Officer. For any officer whose Reporting Officer is not a Coast Guard commissioned officer, member of the Coast Guard Senior Executive Service (SES), or a USPHS flag officer serving with the Coast Guard, Commandant (CG-11), the Reviewer shall describe the officer's "Potential" and include an additional "Comparison Scale" or "Rating Scale" mark. The comparison scale is not to be completed unless the Reviewer comments are mandatory. Local reproductions of form CG-5315 may be used; **see** Article 10.A.4.d. for the format for Reviewer comments and Article 10.A.4.c.11.g. for circumstances when Reviewer comments are mandatory.

c. Ensures the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES. The Reviewer shall return an OER to the Reporting Officer to correct errors, omissions, or inconsistencies between the numerical evaluation and written comments. However, the Reviewer **shall** not direct in what manner an evaluation mark or comment be changed (unless the comment is prohibited under Article 10.A.4.f.).

d. Counsels Reporting Officers whose evaluation habits deviate significantly from the prescribed procedures. Deficiencies in OES performance on the part of Reporting Officers and Supervisors should be noted for performance feedback and considered in the respective officers' OERs.

e. Expedites the reviewed report in a reasonable time to permit the OER Administrator to ensure the OER is received by Commander (CGPC-opm-3) or Commander (CGPC-rpm) 45 days after the end of the reporting period.

f. Ensures an OER returned by Commander (CGPC-opm-3) or Commander (CGPC-rpm) is forwarded to the responsible Reporting Officer for timely correction.

### 10.A.2.g. Rating Chain Exceptions

1. In instances where a Supervisor, Reporting Officer, or Reviewer is unavailable or disqualified to carry out their rating chain responsibilities, the commanding officer or the next senior officer in the chain of command shall designate an appropriate substitute who is capable of evaluating the Reported-on Officer. Other members in the rating chain may be adjusted and designated, as appropriate. Commander (CGPC-opm-3) or Commander (CGPC-rpm) shall be advised in writing of the designation(s). The timing of the substitution may preclude full use of the OSF; however, that fact alone does not invalidate the OER.

2. As used within this subparagraph:

   a. "Unavailable" includes illness, injury, death, prolonged absence, transfer, separation from the Service, retirement, or any other situation which prevents or substantially hinders the Supervisor, Reporting Officer, or Reviewer from properly carrying out their rating chain responsibilities.

   b. "Disqualified" includes relief for cause due to misconduct or unsatisfactory performance, being an interested party to an investigation or court of inquiry, or any other situation in which a personal interest or conflict on the part of the Supervisor, Reporting Officer, or Reviewer raises a substantial question as to whether the Reported-on Officer will receive a fair, accurate evaluation.

   c. If not already determined by the commanding officer, it is incumbent on the Reported-on Officer to identify to the next senior officer in the chain-of-

command that an exception to the designated rating chain may exist. This issue should be raised by the Reported-on Officer during the reporting period or within 30 days after the end of the reporting period.

### 10.A.2.h. OER Administrator

1. Designation:

| STAFF/UNIT TYPE | OER ADMINISTRATOR |
|---|---|
| Headquarters | Headquarters Support Command |
| Atlantic Area Staff and Units | Chief, Administration Staff |
| Pacific Area Staff | Chief, Administration Staff |
| Pacific Area Units, if P or Pcs in rating chain | Chief, Administration Staff |
| Pacific Area Units, if P or Pcs not in rating chain | Chief, MLC Personnel Division |
| MLC Staff and Units | Chief, MLC Personnel Division |
| District Staff and Units | Chief, Administration Division |
| Headquarters Units | Unit Administrative Division Officer |
| Administratively Assigned (ADASGN) | Reporting Officer's OER Administrator |

a. For all OERs that must be forwarded to Headquarters for Reviewer action, the Reporting Officer's OER Administrator will perform the duties of OER Administrator.

b. For officers assigned to other Armed Forces, the OER Administrator will be the staff or unit having ADASGN authority.

2. Responsibilities. The OER Administrator:

a. Ensures timely OER submission for those officers under their administrative jurisdiction for any part of a reporting period. A tracking system is encouraged. The OER Administrator shall ensure that reserve OERs (original and two copies) are received by Commander (CGPC-rpm) and active duty OERs (original and one copy) are received by Commander (CGPC-opm-3) not later than 45 days after the end of reporting periods.

b. **Ensures the rating chain is cognizant of Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).** The OER Administrator shall establish a system to ensure that OERs for officers eligible for promotion and panel action are not delayed, and arrive at Commander (CGPC-opm-3) or Commander (CGPC-rpm) in time to accomplish a thorough quality review.

c. Ensures completeness and accuracy of OERs. OER Administrators shall maintain a system which verifies that OERs have accounted for all days.

**Ensures** that the first report from a new duty station accounts for all days, including departure from a previous unit.

d. Makes minor administrative corrections without returning an OER to the rating chain.

e. Conducts an administrative review of the OER. However, the OER Administrator may return an OER to the Reviewer when it contains substantive error; Article 10.A.4.f.

### 10.A.2.i. Commander, Coast Guard Personnel Command

1. Designation. Commander, Coast Guard Personnel Command has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CGPC-rpm) or Commander (CGPC-opm-3). Servicing of an officer's performance record is accomplished by Commander (CGPC-adm-3).

2. Responsibilities. Reserve Personnel Management Division (CGPC-rpm) or Officer Evaluations Branch (CGPC-opm-3):

   a. Processes OERs into **Direct Access**, an automated tracking system. Ensures that all OERs go through a quality review.

   b. Corrects OERs containing minor administrative errors.

   c. Provides final quality control review of OERs containing substantive errors, including "restricted" remarks as outlined in Article 10.A.4.f. Normally, the appropriate member of the original rating chain will return these OERs to the Reviewer for correction or redaction. However, in certain situations, returning an OER through the rating chain could lead to unacceptable delays and prejudice a Reported-on Officer who is being considered by a board or panel. In order to achieve a balance between accuracy and timeliness, certain corrective measures may be taken to expedite validation of OERs, Reviewer comments, OER Replies, and Addenda.

   **d. Submits validated original OER to CGPC-adm-3 for scanning into the CGPC Military Personnel Data Record (PDR) system.**

   e. Develops and implements system changes as necessary to maintain a healthy system.

   f. Maintains all applicable instructions and forms and recommends policy governing the OES.

   g. Responds to individual and command requests related to OES policy.

   h. Provides training on the OES, subject to resource availability.

i. Conducts the required training for civilian employees assigned rating chain responsibilities.

3. Responsibilities. Records Branch (CGPC-adm-3):

a. Maintains officer records system.

b. Responds to individual inquiries and requests related to those records, including missing copies of OERs.

**c. Mails original, validated OER to the Reported-on Officer after scanning into the PDR.**

## 10.A.3. SUBMISSION SCHEDULE

The intent of the submission schedule is for officers with a biennial, annual or semiannual reporting period to be evaluated as closely to those frequencies as possible. While every effort has been made to accommodate possible deviations to the schedule, unusual circumstances may dictate the submission of reports, or not allow their submission, which may be contrary to the intent of the OES.

### 10.A.3.a. Regular OERs

1. Biennial (on even numbered years), annual or semiannual (Figure 10.A.1.) as of the last day of the month as follows:

| GRADE | ADPL | IDPL | |
|---|---|---|---|
| Captain | April | April | (Annual) |
| Commander | March | March | (Biennial) |
| Lieutenant Commander | April | April | (Biennial) |
| Lieutenant | May | May | (Biennial) |
| Lieutenant (Junior Grade) | January and July<br>(In zone/above zone promotion board eligible candidates due 30 Jun) | July | (Annual) |
| Ensign | March and September | March | (Annual) |
| Chief Warrant Officer (W4) | April | April | (Biennial) |
| Chief Warrant Officer (W3) | July | July | (Biennial) |
| Chief Warrant Officer (W2) | June | June | (Biennial) |

a. A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports or 12 months for semiannual reports.

b. Annual or semiannual OER submission is optional (waivers not required) if:

(1) A regular OER (or a special OER that counts for continuity) was

submitted within 182 days prior to the scheduled submission date for annual reports or 92 days for semiannual reports.

(2) A regular OER will be submitted within the 182 days following the scheduled due date for annual reports or 92 days for semiannual reports. Exception: Those officers above zone, and in zone, for promotion as specified by ALCGOFF promulgated by Commander (CGPC-opm) shall not delay their regular annual or semiannual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only **in accordance with Article 10.A.3.a.5.b**. For officers who meet this criteria, a waiver must be obtained as provided in Article 10.A.3.b.

(3) The Reported-on Officer is under Permanent Change of Station (PCS) orders and has been observed at the new unit for less than 120 days. The observations shall be recorded in the next regular OER. (NOTE: The term "observed," for the purpose of this paragraph only, means on-the-job time, excluding travel, temporary duty not performed in the execution of the officer's normal duties, leave, rating chain transitions, and hospitalization.)

c. Reserve biennial or annual OER submission is optional (waivers not required) if:

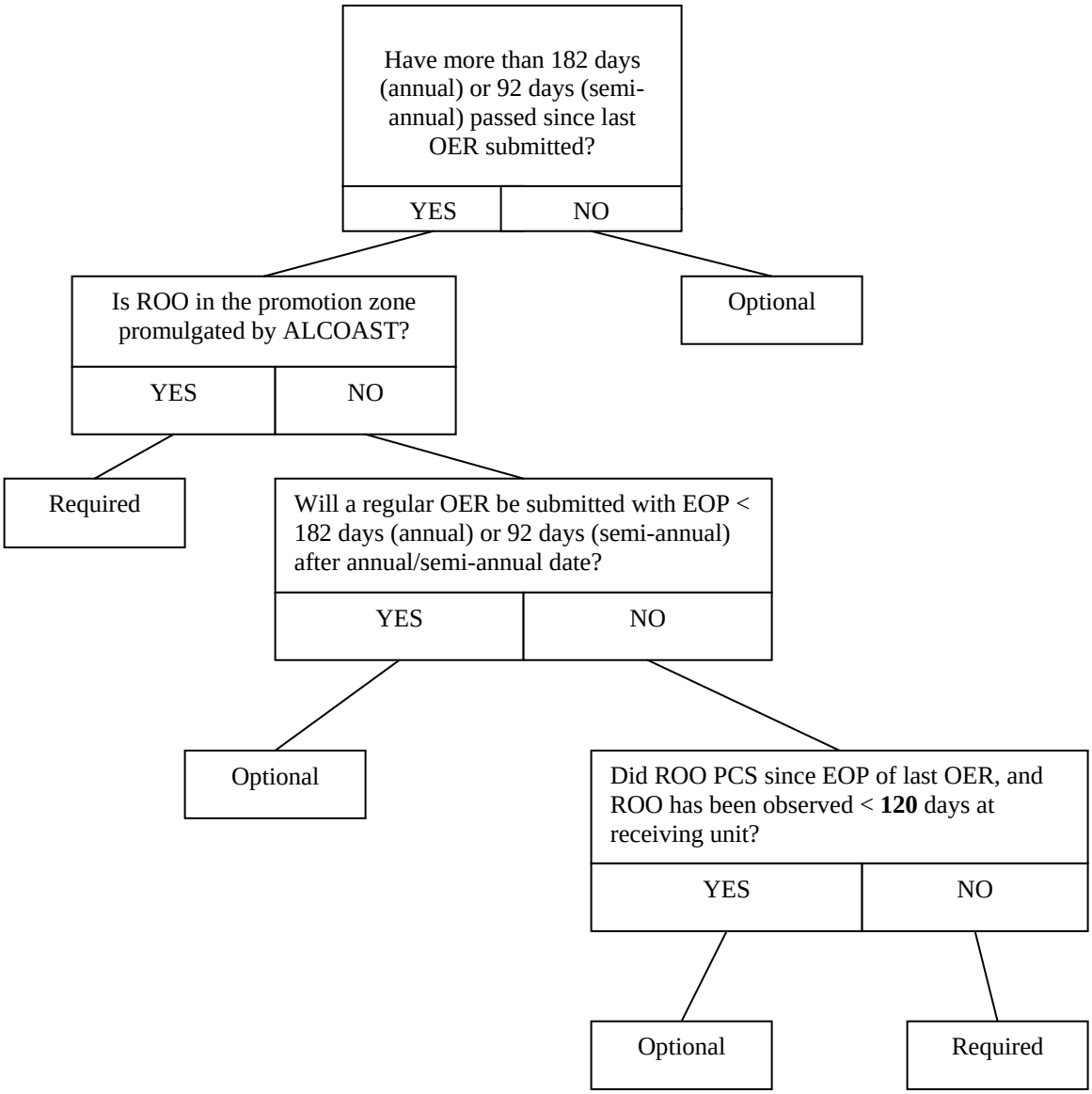
(1) A regular OER (or a special or ADSW OER which counts for continuity) was submitted within 6 months prior to the scheduled submission date.

(2) A regular OER will be submitted within the following 6 months of the scheduled due date. Exception: Those officers above and in zone for promotion as specified by **ALCGPERSCOM** promulgated by Commander (CGPC-rpm) shall not delay their biennial or annual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only in accordance with Article 10.A.3.a.5.b. For those officers who meet this criteria, a waiver must be obtained as provided in Article 10.A.3.b.

(3) The Reported-on Officer under PCS orders has been observed at the new unit for less than 6 months. The observations shall be recorded in the next regular OER.

# OER FOR ANNUAL/SEMIANNUAL SUBMISSION

10.A.3.a(1)

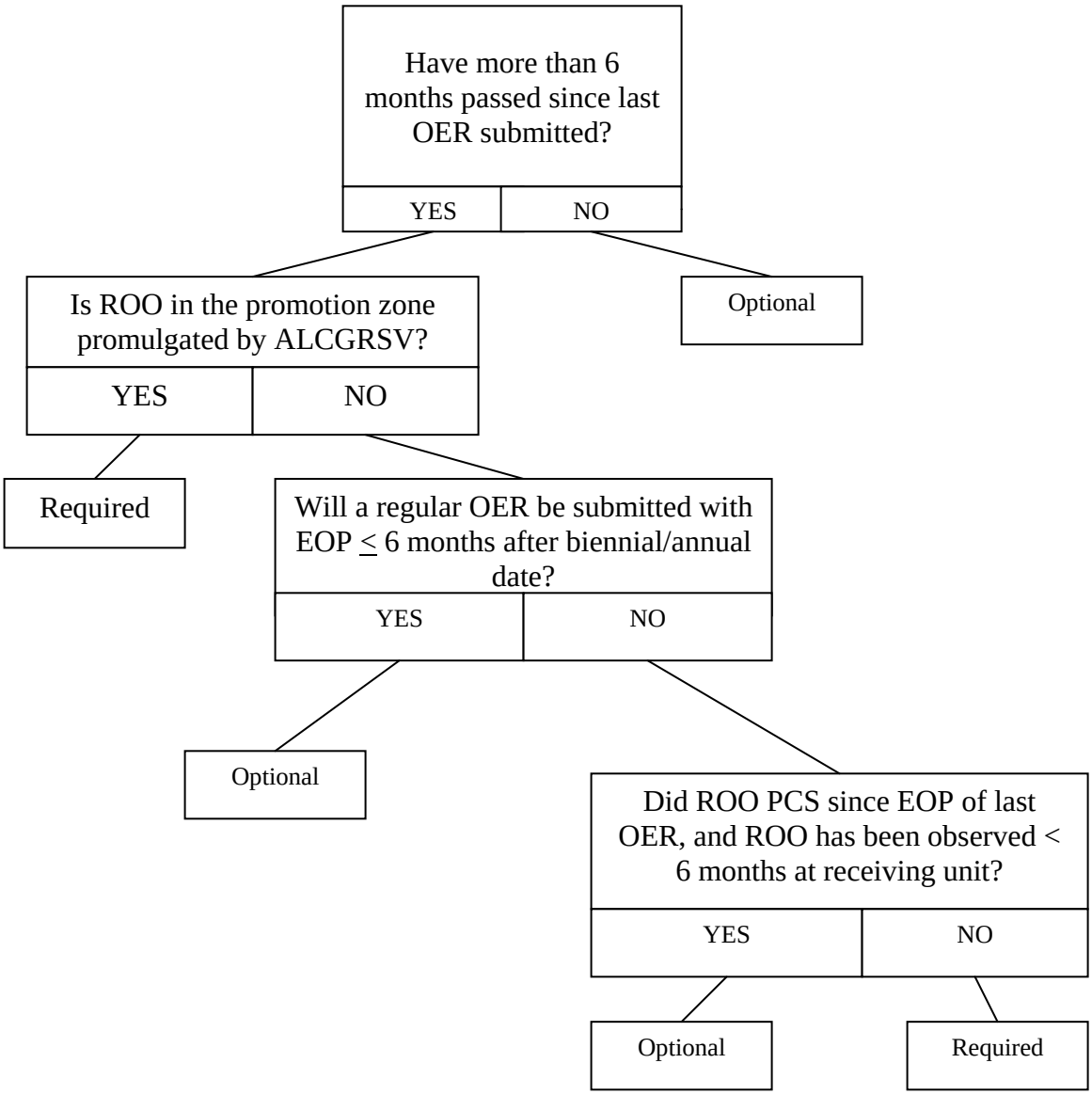



Key:
ROO = Reported-on Officer
EOP = End of period

FIGURE 10.A.1

# RESERVE OER FOR BIENNIAL/ANNUAL SUBMISSION

10.A.3.a.(1)




Key:
ROO = Reported-on Officer
EOP = End of period

FIGURE 10.A.1 Reserve

2. Detachment or change of the Reporting Officer (Figure 10.A.2.):

   a. OERs for officers on a biennial submission schedule are required if more than 12 months have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.

   b. OERs for officers on an annual submission schedule are required if more than six months (i.e., 182 days) have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.

   c. OERs for officers on a semiannual submission schedule are required if more than three months (i.e., 92 days) have elapsed since the ending date of the last regular OER.

   d. OER submission is optional in other situations.

**OER FOR DETACHMENT OR CHANGE OF REPORTING OFFICER**
**10.A.3.a(2)**

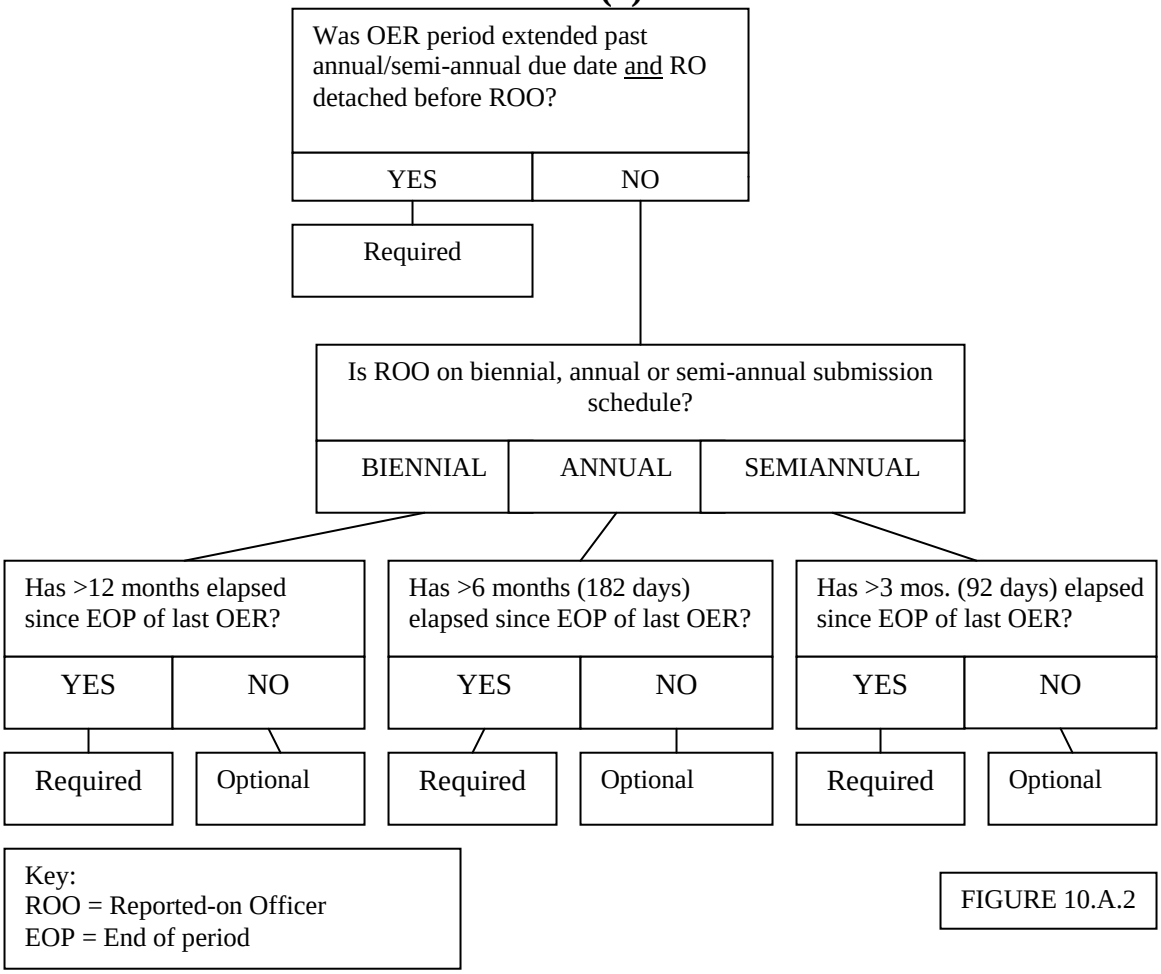


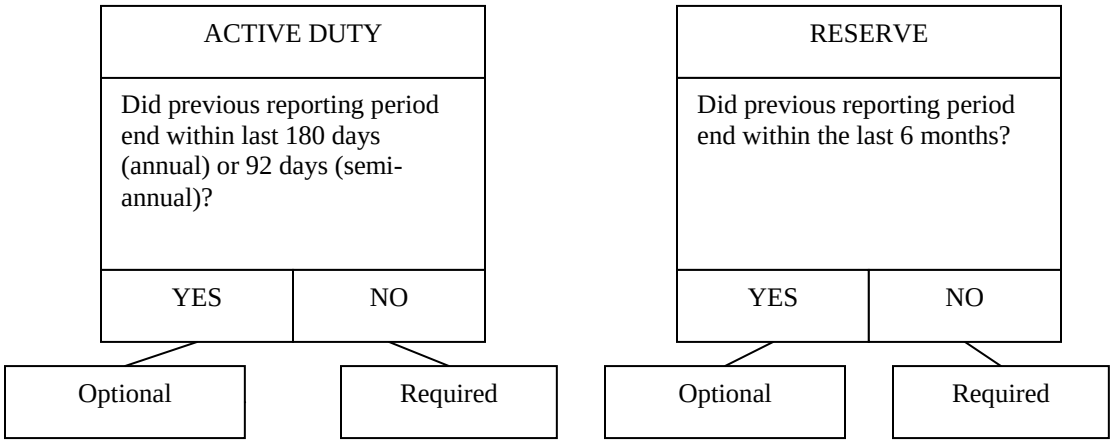

FIGURE 10.A.2

3. Detachment on PCS orders, or separation from the Service of the Reported-on Officer (Figure 10.A.3.):

   a. OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or the last 6 months for reserve officers. The days between the end of the previous regular OER and the detachment date (or from the date of commissioning through the detachment date) may be reflected as "Days Not Observed, Other" on the first OER from the next unit, with a short explanation in Section 2 (e.g., Detached USCGC DAUNTLESS on 97 01 15).

   b. For officers separating from the Service, the period of the report shall end on the final day of active service, including days on terminal leave.

## OER FOR DETACHMENT OF REPORTED-ON OFFICER 10.A.3.a(3)




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

FIGURE 10.A.3.

4. Promotion of Officers (Figure 10.A.4.):

   a. Captains selected for promotion to flag grade shall, with the concurrence of their rating chain, submit an OER for continuity purposes only to coincide with their promotion.

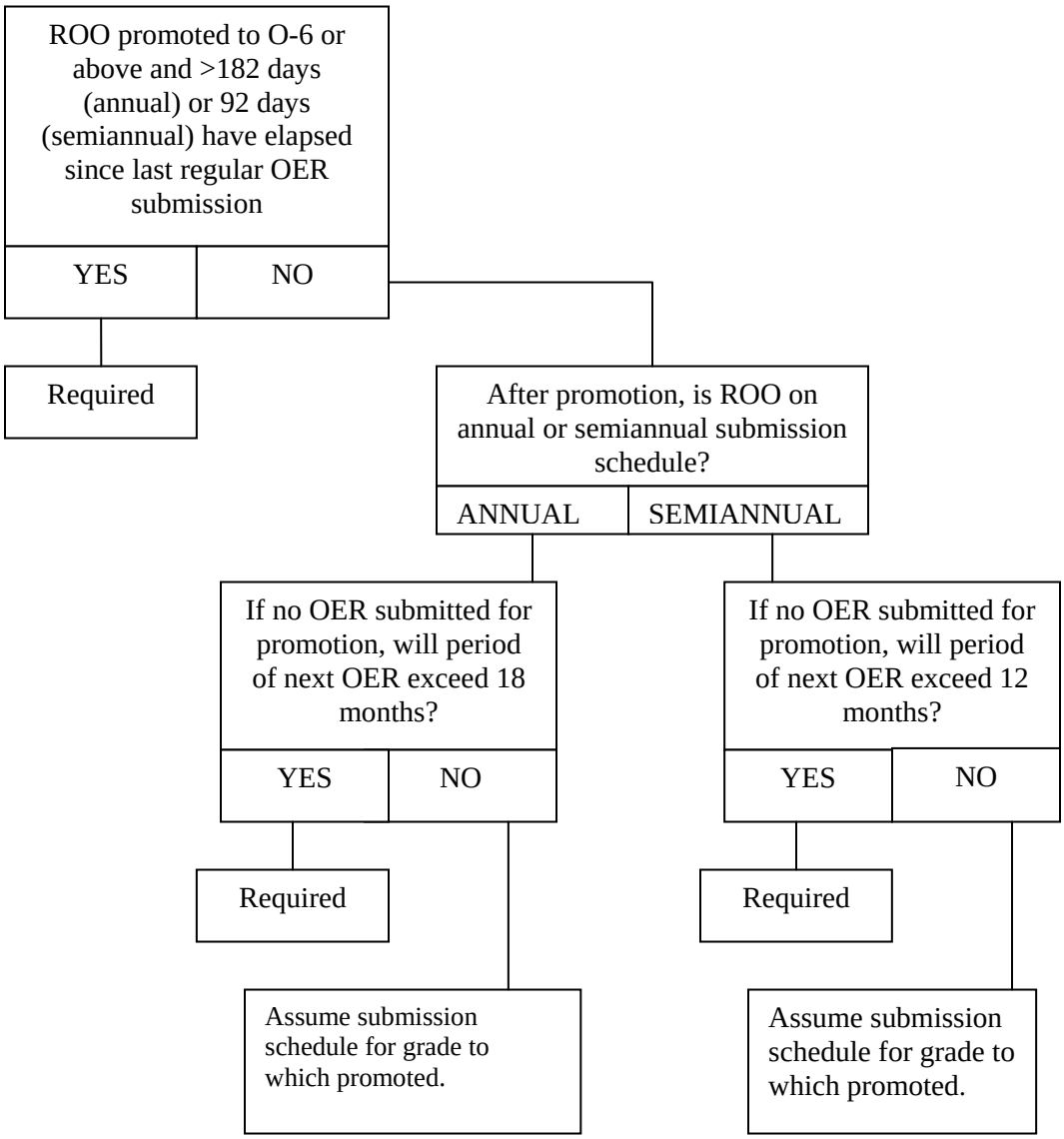
   b. Promotion OERs are only required for promotion to captain and for CWO to LT. However, if an OER was completed within 182 days of the promotion date for regular officers or within 6 months for reserve officers, the Reported-on Officer need not submit a promotion OER or a waiver request.

   c. Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle) or greater than 12 months (semiannual cycle). Example: An O-4 promoted to O-5 during April (11 months since the last O-4 OER) who would not otherwise receive an OER until the following March, providing there are no other anticipated intervening occasions, should do a promotion OER. If the intervening occasion will occur more than 92 days after the promotion date, then Article 10.A.3.b. applies. The Reported-on Officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion.

   d. Officers promoted under the CWO to Lieutenant program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CGPC-opm-3) approval.

   e. Officers who have been frocked shall follow the schedule and exceptions described above for their actual pay grade, not for the grade to which they have been frocked.

# OER FOR PROMOTION OF REPORT-ON OFFICER
# 10.A.3.a(4)

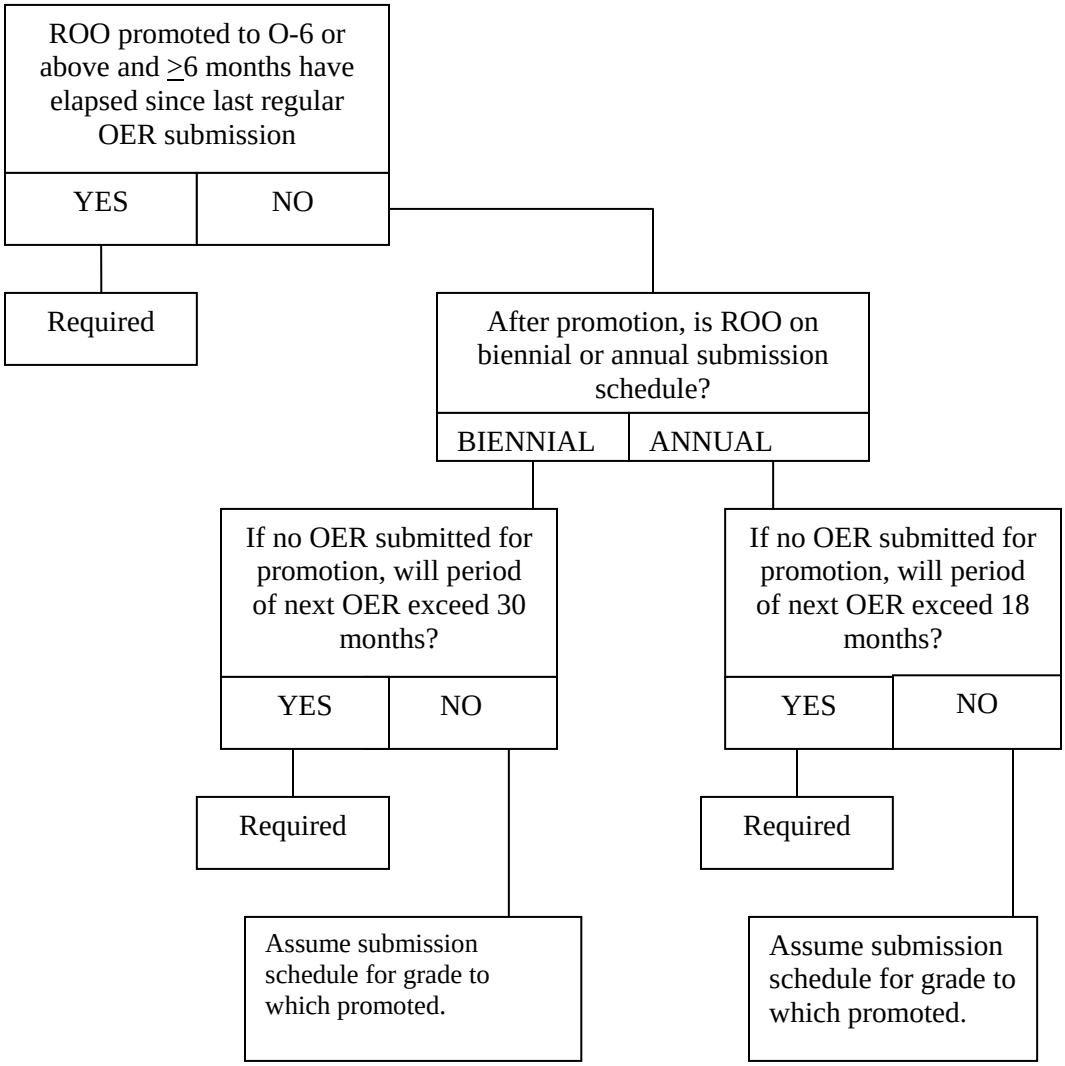



Key:
ROO = Reported-on Officer

Note: Where an OER is required
1) The reporting period ends on the day before the effective date of promotion
2) The Officer's grade is the grade prior to promotion

# RESERVE OER FOR PROMOTION OF IDPL REPORTED-ON OFFICER

10.A.3.a.(4)




Key:
ROO = Reported-on Officer

Note: Where an OER is required
1) The reporting period ends on the day before the effective date of promotion
2) The Officer's grade is the grade prior to promotion

Figure 10.A.4. Reserve

5. Reports for Continuity Purposes (Figure 10.A.5) (may be referred to as a Continuity OER). Such reports may be submitted in cases where an OER is required by these instructions, but full documentation is impractical, impossible to obtain, or does not meet officer evaluation system goals.

   a. **Commander (CGPC-rpm) shall complete a continuity OER for officers assigned to the Individual Ready Reserve (IRR), or the Standby Reserve (Active Status)**. The OER shall encompass the entire period the officer was in the IRR. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date.

      (1) **Commander (CGPC-rpm) shall complete or delegate the completion of OER Sections 1, 2, 13, and prepare Section 11, "Reporting Officer Authentication," for Commander (CGPC-rpm) signature. Commander (CGPC-rpm) may delegate the Reporting Officer signature authority to competently trained staff.** Section 6 (Supervisor Authentication) and Section 12 (Reviewer Authentication) are not used for IRR OERs.

      (2) Section 2, "Description of Duties," should read "Submitted for continuity purposes only IAW Article 10.A.3.a.5.a. ROO is in IRR." The "Not Observed" circle should be filled for all marks assigned with Section 9 (Comparison Scale) left blank.

      There is no requirement for officers on the Inactive Status List (ISL) to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.

   b. A continuity OER may be submitted under the following conditions:

      (1) The reporting period is 92 days or fewer or for reserve, is 6 months or fewer and the Supervisor and Reporting Officer have little or no information regarding the Reported-on Officer's performance or qualities, e.g., separating from the service; Article 10.A.3.a.

      (2) An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

(3) An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last regular OER submission and has met the expected high standard of performance during the period. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

(4) An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.

(5) Reserve CWO4 Only. Reserve CWO4s who have at least one fully documented OER, validated and in the Headquarters personnel record, at the CWO4 grade and continue to meet the expected high standard of performance may submit continuity OERs thereafter. In addition to procedures outlined in Article 10.A.3.a.5.d. below, Section 2 of the OER shall include the following statements, "OER is submitted under Article 10.A.3.a.5.b.(5). ROO concurs with decision to submit this continuity OER." Account for IDT Drills and ADT and ADSW days in Section 2 of the OER. Exception: CWO4's considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.

(6) A waiver shall be obtained from Commander (CGPC-rpm) or Commander (CGPC-opm-3) to extend a continuity only OER upon retirement or separation (voluntary resignations and discharges only) beyond an intervening submission occasion (e.g., detachment of Reporting Officer).

c. An OER for continuity purposes may be required by Commander (CGPC-opm) or Commander (CGPC-rpm) to implement judicial and administrative adjudications, and when directed by Commander (CGPC).

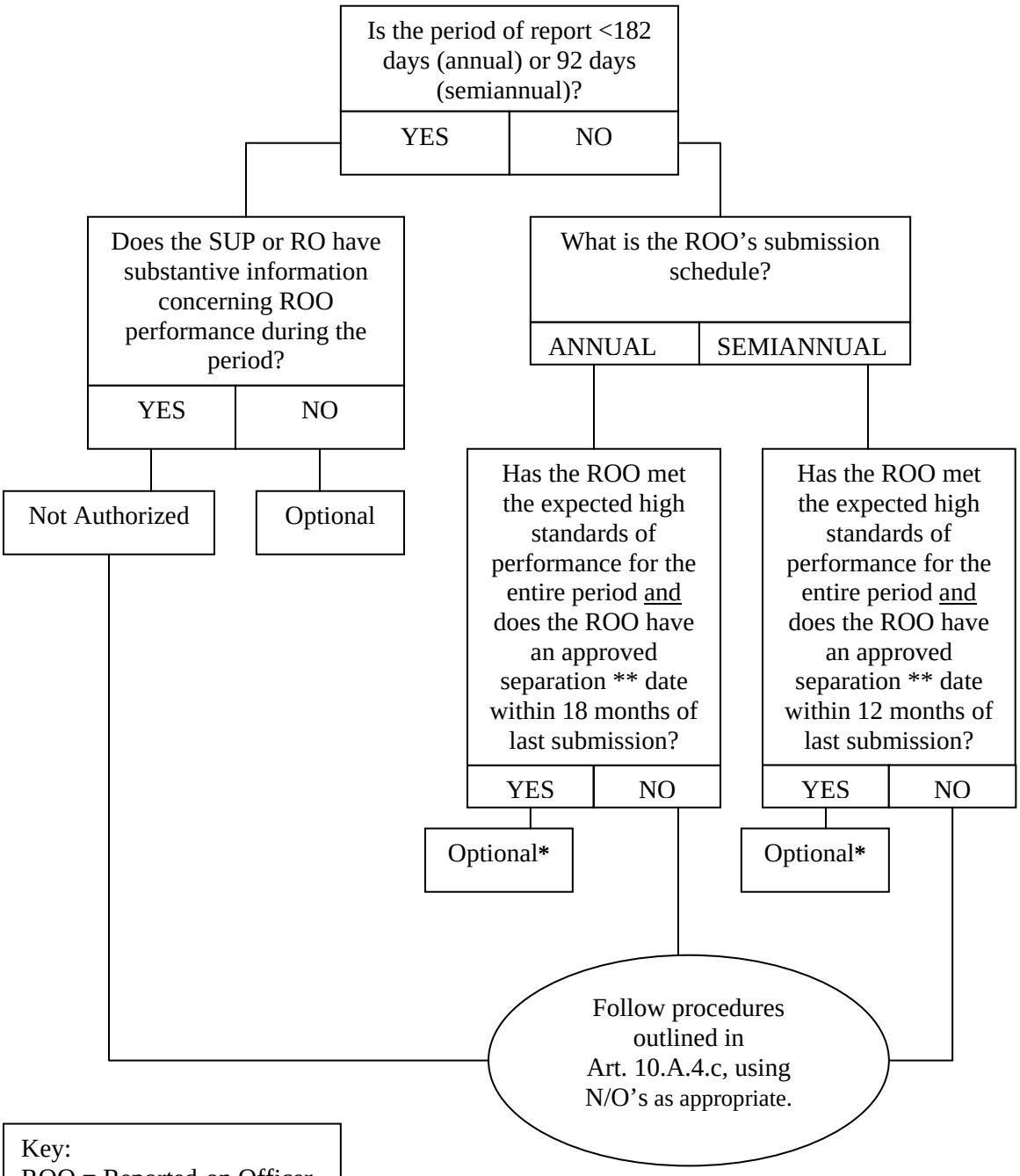
d. When submitting a continuity OER, the Reported-on Officer shall complete Sections 1 and 13. The designated Supervisor shall briefly describe the Reported-on Officer's responsibilities in Section 2 and state the reason the OER is submitted for continuity purposes, e.g., Submitted IAW Article 10.A.3.a.5., member separating on 01 July 2000. All other evaluation areas, including section 9, shall be left blank with "NOT OBSERVED" marked for each dimension. In determining whether a "continuity purposes only" OER is appropriate for officers being separated, consideration should be given to the Reported-on-Officer's opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the Reported-on Officer's ability to later obtain a reserve commission and compete at future reserve officer selection boards. Thus, for officers departing the service for reasons other than retirement, the Supervisor shall

ensure that the Reported-on Officer acknowledges reviewing this paragraph. The Supervisor shall also include the following language in Section 2 of the report: "Officer states that he/ she has reviewed the provisions of Article 10.A.3.a.5., and concurs with the decision to submit this 'continuity purposes only' OER." Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the period the OER covers, Article 10.A.4.c. procedures apply.

e. Requests for waivers of the time restrictions of this article should be addressed to Commander (CGPC-rpm) or Commander (CGPC-opm-3). These waivers may be appropriate if intervening occasions, e.g., change of Reporting Officer, would otherwise necessitate successive continuity reports.

**f. Eligible officers who transition directly to a retired recall status following retirement are required to submit a regular OER rather than an OER for continuity purposes incident to leaving active duty status.**

# OER FOR CONTINUITY PURPOSES
## 10.A.3.a.(5)

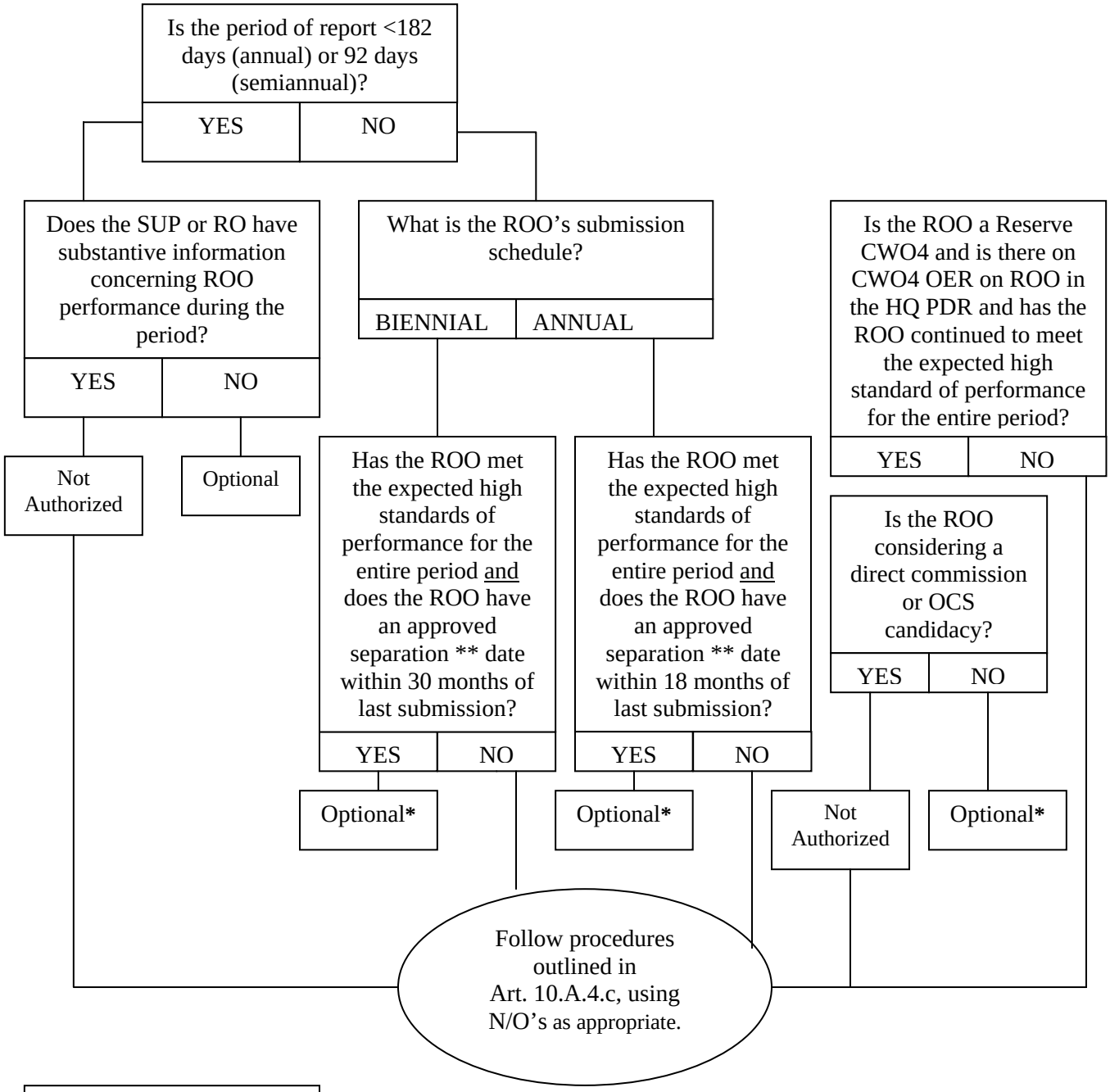



Key:
ROO = Reported-on Officer

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

Figure 10.A.5

# RESERVE OER FOR CONTINUITY PURPOSES
# 10.A.3.a.(5)




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

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

Figure 10.A.5

## 10.A.3.b. OER Waivers

1. Written requests for waivers to the submission **schedule, including deadlines for derogatory OER addenda and OER replies, shall be submitted by the Reported-on-Officer no later than 45 days prior to the scheduled end of period** to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the rating chain. Waivers to the normal submission schedule will not be granted without indicating extraordinary circumstances.

2. The Reported-on Officer should identify his or her social security number, phone number, requested period of report, and specific reason(s) for waiver request. If they are in or above zone for promotion, and their intent is to submit a continuity OER upon their retirement or separation, a statement that they understand their record will be incomplete before the board must be included. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER.

## 10.A.3.c. Exception OERs

1. Special OERs. The Commandant, commanding officers, higher authority within the chain of command and Reporting Officers may direct these reports. The circumstances for the Special OER must relate to one of the situations described in subsections a. through e. The authorizing article listed below should be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted under Article 10.A.3.c.(1)(--) due to ..."]. Special OERs present unique preparation problems for members of the rating chain. Therefore, preparers are strongly encouraged to contact Commander (CGPC-rpm) or Commander (CGPC-opm-3) for guidance prior to submitting these exception reports. IAW regular OER submission schedules, Special OERs should be completed by the rating chain and received by CGPC no later than 45 days after the end of the period.

   **a. A special OER may be completed to document performance notably different from the previous reporting period if deferring the report of performance until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection or reassignment. This report should not normally reflect performance reportable under Article 10.A.3.c.1.b. Notably changed performance is that which results in marks and comments substantially different from the previous reporting period and results in a change in the comparison or rating scale. If an individual has been removed from primary duties (other than relief for cause as prescribed by Article 4.F.6) and early transfer from unit is required, a special OER is required before the Reported-on Officer receives consideration for reassignment. An OER documenting removal from primary duties is derogatory and must be submitted in accordance with Article 10.A.4.h. In both cases, the OER counts for continuity.**

   b. A special OER is required after an officer is found guilty of a criminal offense and the conduct relates to the Reported-on Officer's performance or any other matter

on which an officer may be evaluated, Article 8.B.4.b. A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a Special OER shall be prepared because the evidence established that the officer was criminally culpable. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved. **This OER does not count for continuity.**

(1) The reporting period for this special report will be the time frame during which the officer's conduct prompting the report occurred. The report shall clearly state: (1) the nature of the proceeding prompting the report and the result of the proceeding, e.g. criminal conviction, non-judicial punishment, or final reviewing authority's action directing a special OER due to criminal culpability; (2) any punishment imposed as a result of criminal conviction or non-judicial punishment; and (3) other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation shall be limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which is not evaluated shall be marked "not observed." A Section 9 comparison or rating scale mark and Section 10 comments on the officer's potential are required.

(2) If the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period, a special report is not required if the process is completed, i.e., not subject to further review, by the time that the regular report is due to be submitted for the current period. The basis for the court-martial, non-judicial punishment, or investigation shall be reported in the regular report.

c. Special OERs may be submitted for officers being considered by selection panels or selection boards for promotion, extension, or continuation if the period of report is at least six months and the OER will arrive at CGPC not later than 45 days before the board/panel convening date. For officers applying to postgraduate school, the period of report shall end on 31 March or 45 days before the application deadline. Reported-on Officers (reserve only) who are on a biennial schedule and are in zone for promotion on the IDPL during an odd numbered year shall complete a Special OER for that year to document all performance since the last regular OER for board consideration. These OERs should not be delayed past the normal submission month (e.g. March for CDRs, April for LCDRs). Extensions will not be granted. **This OER counts for continuity.**

**d. Special OERs may be submitted to document significant historical performance or behavior of substance and consequence which was**

**unknown when the regular OER was prepared and submitted. This report should not normally reflect performance reportable under Article 10.A.3.c.1.b. The OER should address only the performance dimensions relevant to the special OER since all other performance dimensions will have been addressed in the regular OER. The special OER should be initiated by the original rating chain unless they are unavailable or disqualified. Article 10.A.2.g. applies. The Reviewer must be a flag officer. This OER does not count for continuity.**

e. When specifically directed by another article in this manual, e.g., Article 4.F.6., Relief for Cause. This OER may count for continuity, depending upon the circumstances which prompt its submission.

2. Concurrent OERs. A concurrent OER is an OER submitted in addition to a regular or special OER. The permanent unit's OER is never considered a concurrent report and should not be so identified. A concurrent report is always in addition to a regular or special OER, and thus does not count for continuity. The unit to which the Reported-on Officer is permanently attached is always responsible for ensuring that continuity is maintained with either regular or special OERs. Concurrent reports may be submitted only when the officer is:

a. Filling separate or distinct billets or command functions under different commanding officers.

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

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

d. Commanding a unit with divided operational control.

e. Performing temporary assigned duty (TAD) away from a permanent station for a period of at least 60 consecutive days while being observed by a senior other than the regular Reporting Officer, e.g., senior aviator deployed aboard a Coast Guard icebreaker. In this case, the concurrent report normally will be written upon the detachment of the TAD officer and cover only the period of temporary additional duty.

### 10.A.3.d. Evaluation of Performance while Recalled to Active Duty from Retired Status

1. Because the personnel management goals (promotion, assignment, career development) of the OES don't apply to officers who are recalled to active duty from retired status, there is no mandatory requirement to submit an OER for these officers.

2. Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the retired recall period, a regular OER may be submitted and the procedures outlined in Article10.A.4.c. apply. Such information may be useful for future retired recall decisions regarding the officer. If the decision is made to submit a regular OER for the retired recall period, the following annotation should be made in Section 2 of the OER: "Submitted IAW PERSMAN Article 10.A.3.d."

3. **If service need requires that a retired recall promotion board be convened, eligible officers who declined to submit an optional OER for a previous retired recall period are not permitted to resurrect that exercised option to retroactively submit OERs for consideration by the board.**

4. If circumstances during the retired recall period warrant, a special OER may be submitted if the criteria of Article 10.A.3.c.1. are met.

### 10.A.3.e. Reserve Specific OERs

1. **<u>Active Duty for Special Work</u>: This section describes Reserve-specific OER submission rules for officers who are on Active duty for Special Work (ADSW) in support of the Active Component (-AC) or Reserve Component (-RC).**

   a. **<u>Short-Term ADSW (Periods of 180 Days or less).</u> If the ADSW orders are for 180 days or less, the ADSW performance shall be included in the Reported-On Officer's regular IDPL OER(s) if the ADSW is performed at the Reported-On Officer's permanent IDT/ADT unit. If the Reported-On Officer performs the ADSW at a unit other than the permanent IDT/ADT unit, then Article 10.A.3.c.2.e. concerning temporary assigned duty (TAD) applies and a concurrent OER shall be submitted if the ADSW is for a period of at least 60 consecutive days. If the Reported-On Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the ADSW assignment, then in all cases (for short-term ADSW periods of any length), a concurrent OER shall be completed by the ADSW rating chain for the period of ADSW only.**

   b. **<u>Long-Term ADSW (Periods of 181 Days or Greater).</u> If the ADSW orders are for 181 days or greater, a Reserve Officer is removed from his or her SELRES (or IRR) assignment for the duration of the active duty and ADPL submission schedules shall apply; see Chapter 3.B.4. of the Reserve Policy manual, COMDTINST M1001.28 (series) for a description of long-term active duty. If the Reported-On Officer performs the long-term ADSW at a unit other than the previous SELRES/IRR unit (or previous ADSW unit if there is no break in service), then the submission criteria for a PCS transfer shall apply. If**

**the ADSW is performed at the same unit as the Reported-On Officer's previous SELRES/IRR unit (or previous ADSW unit if there is no break in service), the ADSW performance shall be included in the Reported-On Officer's next regular OER(s), as long as there is no change in the description of duties and reporting officer.**

**c. <u>ADSW With Subsequent EAD Contract.</u> Reported-On Officers who are on ADSW assignment and are immediately brought on an Extended Active Duty (EAD ) contract in the same assignment may defer submitting an OER until their next regular ADPL OER submission date, as long as there is no break in service and no change in the description of duties and reporting officer.**

**2. <u>Active Duty Due to Mobilization</u>. This section describes Reserve-specific OER submission rules for officers who are involuntarily recalled to active duty in support of a contingency. Involuntary recalled reservists on long-term orders are not removed from their SELRES or IRR assignments as are their counterparts on long-term ADSW.**

**a. <u>Involuntary Recall to AD at Reported-On Officer's SELRES/IRR Unit</u>. If the Reported-On Officer is involuntarily mobilized to perform active duty of any duration at his or her permanent IDT/ADT unit (or previous ADSW unit if there is no break in service), performance of the mobilization duty shall be included in the officer's regular OER(s). If the Reported-On Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the mobilization assignment, then in all cases (for involuntary recall of any length), a concurrent OER shall be completed by the mobilization unit's rating chain only for the period of recall to active duty. ADPL submission schedules begin to apply after six months of continuous active duty; IDPL submission schedules commence again upon demobilization.**

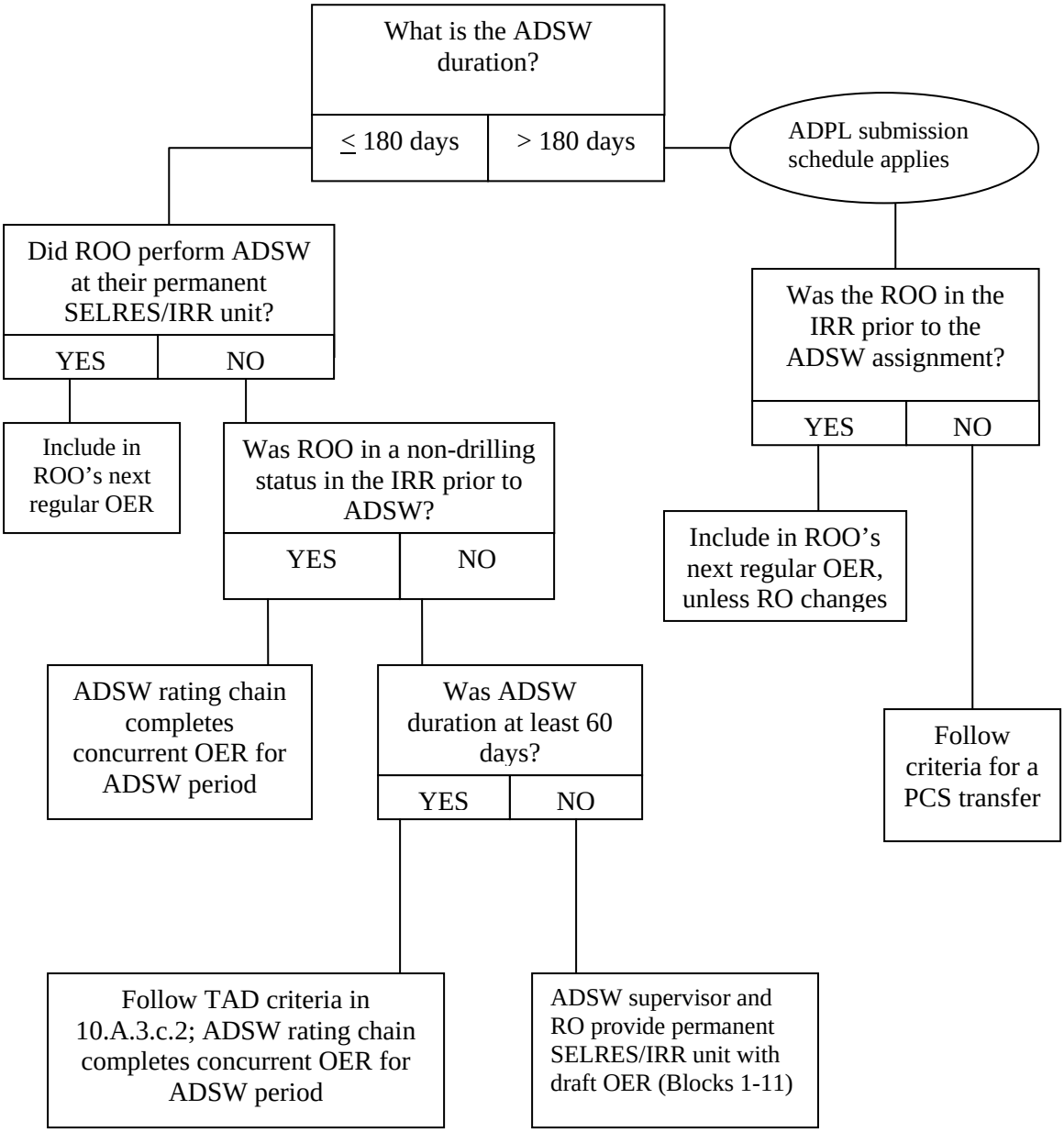
**b. <u>Involuntary Recall to AD at another Unit for Less than 92 Days</u>. If the Reported-On Officer is mobilized to perform active duty for a period of less than 92 days at a unit other than the SELRES/drilling IRR unit, the supervisor and reporting officer of the mobilization unit is responsible for providing the SELRES/drilling IRR unit with a draft OER Form CG-5310(series) Sections 1-11. The draft may be handwritten and shall include marks and comments (bullet statements may be used) for the period of observation. The mobilization supervisor and reporting officer shall sign the draft OER (no reviewer authentication is required) and forward it to the SELRES/drilling IRR unit supervisors. A copy of the draft OER may be provided to the Reported-On Officer.**

**c. <u>Involuntary Recall to AD at Another Unit for 92 Days or More</u>. If the Reported-On Officer is involuntarily mobilized to a unit other than the**

**permanent IDT/ADT unit, then OER submission criteria for a PCS transfer shall apply; the permanent SELRES unit shall prepare a PCS departure OER if required, and the mobilization OER counts for continuity, even though the member is not removed from his or her SELRES assignment. ADPL submission schedules apply.**

**RESERVE OER FOR ACTIVE DUTY FOR SPECIAL WORK (ADSW)-IN SUPPORT OF THE ACTIVE COMPONENT (AC) OR RESERVE COMPONENT (RC)**

10.A.3.e.1




Key:

RO = Reporting Officer
ROO = Reported-On Officer

Figure 10.A.6

## 10.A.4. Preparation and Processing of Evaluation Reports

### 10.A.4.a. General

This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs). Members of the rating chain should prepare reports with care. They should ensure that comments are clear, concise, and accurate.

1. The OER is a series of forms, CG-5310, used to document Coast Guard officers' performance and potential.

2. Forward OERs to arrive at Commander, (CGPC-rpm) or Commander (CGPC-opm-3) not later than 45 days following the end of the reporting period.

3. OER form software will default to the desired font type and size. Commands should not try to adjust the default settings. For units that must complete OERs on non-standard terminals, only two fonts shall be used: *Courier* or *Times New Roman*. When using *Courier*, the size of type shall be no smaller than 10 point/12 pitch with not more than six lines per inch. When using *Times New Roman*, the size of type shall be 12 point with not more than five lines per inch.

4. Reporting Officers and Supervisors shall use the same type font throughout their respective sections. Particular care must be taken when adding comments after initial typing to ensure this requirement is met. Reports in all capital letters are prohibited. OER pages shall be one sided only; two-sided OERs are prohibited.

5. **Text** enhancements, **(**e.g., underlining, boldface, all capital letters**)** are not allowed.

6. Assign marks in ink. Line out and initial changed marks in ink. Reprint the OER if more than two marks are changed.

7. Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.

8. Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.

### 10.A.4.b. Forms

The following forms shall be used:

| GRADE | FORM |
|---|---|
| Captain | **CG-5310D** |
| Commander | **CG-5310C** |
| Lieutenant Commander | **CG-5310B** |
| Lieutenant | **CG-5310B** |
| Lieutenant (jg) | **CG-5310A** |
| Ensign | **CG-5310A** |
| Warrant Officer | **CG-5310A** |

### 10.A.4.c. Preparation

1. Section 1—Administrative Data. The Reported-on Officer shall complete all items in this Section, and Section 13 (Return Address), no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

   Items:

   a. NAME—Last and initials only. First names shall not be used.

   b. SOCIAL SECURITY NUMBER—Ensure correct.

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

   d. DATE OF RANK—Date of rank in all numerals**,** e.g., 1997/01/23**,** for the rank of the officer associated with the period of report.

   e. UNIT—Identification of the unit to which permanently attached, e.g., Commandant (G-LMJ) or USCGC DECISIVE (WMEC-629). For concurrent OERs, use the TAD unit name. For “ADSW” OERs use the ADSW unit name.

   f. ATU-OPFAC.

      (1) Administrative Target Unit (ATU)—The two-digit numeric designation of the district, area, and headquarters unit to which administratively assigned, e.g., 01 for First District, 98 for Headquarters, 71 for Institute.

      (2) Operating Facility (OPFAC)—The five-digit numeric designation of the unit to which permanently attached.

g. DAYS NOT OBSERVED—Enter a two-digit number in all categories representing the days the Reported-on Officer was not present for duty during the evaluation period. Enter as follows:

LV—The number of days leave taken during the evaluation period (i.e., sick leave, regular leave).

Other—TAD not performed in the execution of the officer's normal duties. Hospitalization, PCS, including travel, TEMDU, and proceed time, etc.; Article 10.A.3.a.

h. DATE REPORTED—Indicate the actual date of reporting to the unit specified in f. as shown **in Direct Access.** Enter date in the same format as e. above. NOTE: Intra-unit PCS transfers constitute a change in Date Reported Present Unit.

i. PERIOD OF REPORT—The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.) Elapsed time between permanent or temporary duty stations (in transit, on leave, hospitalized, etc.) shall be accounted for in the next period of report and noted in section 1.h., Days Not Observed. Enter dates in the same format as e. above. "ADSW" OERs shall include only dates while on ADSW.

j. OCCASION FOR REGULAR REPORT—Article 10.A.3.a. Mark only one box for the occasion which has prompted the OER submission. The occasion is dictated by the end-of-period date in Block 1.j. Leave blank if the report is a Special, Concurrent or ADSW OER.

k. EXCEPTION REPORT—Article 10.A.3.c. Mark special or concurrent, but not both, if the report is not a regular OER.

l. DATE SUBMITTED—The date the Reported-on Officer submits the OER form to the Supervisor. Enter dates in the same format as e. above.

2. Section 2, Description of Duties.

a. The Supervisor shall write a summary of the most important aspects of Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.

b. Discuss all major duties assigned to the Reported-on Officer during the

reporting period. **Provide** the officer's primary duty title **in the primary duty block**. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not his or her primary Supervisor, the Supervisor should attempt to obtain from the secondary supervisor a description of the Reported-on Officer's duties while working for the secondary supervisor (e.g., TAD for less than 60 days; ADSW for 6 months or less). A concurrent OER should normally be completed for TAD greater than 60 days. An "ADSW" OER should normally be completed for ADSW greater than 6 months. The primary Supervisor should note these duties, citing the unit and inclusive dates.

c. Describe duties and responsibilities to provide an overall understanding of the job. Also note conditions peculiar to the assignment. Include number of people supervised, funds controlled, unit operations or organizational relationships as appropriate. Define highly technical terms. Comments must be clear and concise and confined solely to the space allotted on the form.

d. Describe the duties and responsibilities for officers with limited opportunity to perform in accordance with Article 10.A.2.b.

e. Provide a brief reason for submission of Special OERs and Regular OERs submitted for continuity purposes only.

**f. Provide Reserve time if applicable. The following information should be entered (as shown) in Block 2 as the last part of the "Description of Duties": IDT Drills Scheduled/Attended: XX/XX; ADT: XX Days; ADSW: XX Days. Enter number of drills and days even if zero. The drills/days should reflect the number completed within the period of report, NOT the number completed during the anniversary year.**

3. Section 2, Attachments.

a. The following paragraphs address items that may or shall be listed as attachments to an OER:

(1) Personal military decorations issued in accordance with **Chapter 2** of the Medals and Awards Manual, **COMDTINST M1650.25 (series)**, or other U.S. Armed Services equivalent may be attached to an OER for the period in which received even if the performance cited does not relate to the period. Attach a copy of the award's certificate and citation and list the description (e.g., CG Achievement Medal dated 31 January 2005) in the attachment line in section 2 of the OER**.**

(2) Copies of punitive letters of censure and copies of Court Memorandums shall be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed; Articles 10.A.3.c. and

10.A.4.f. A written non-punitive censure or copy thereof may not be referred to or appended to the OER (Article 8.E.4.) However, the performance which resulted in the non-punitive censure may be discussed in the OER.

b. The Reported-on Officer, and other officers or officials outside the Reported-on Officer's normal rating chain, may submit to the Supervisor or Reporting Officer letters, certificates, citations, comments or other reliable documentation pertaining to performance of duty. Supervisors and Reporting Officers may use or cite such reports in the OER "comments" blocks, but shall <u>not</u> attach them to the OER.

4. <u>Sections 3, 4, and 5</u>.

a. These sections are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:

- Performance of Duties
- Communication Skills
- Leadership Skills

Two or more performance dimensions (rating scales) define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. Supervisors must read each standard carefully. A space for supporting comments follows each set of dimensions.

b. For each evaluation area, the Supervisor shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor shall take care to compare the officer's performance and qualities against the standards—not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor fills in the appropriate circle on the form in ink.

c. Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" blocks or Section 2.

d. In the "comments" block following each evaluation area, the Supervisor shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The

Supervisor shall draw on his or her observations, those of any secondary supervisors, and other information accumulated during the reporting period.

e. Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for below or above standard marks.

f. When appropriate, specifically address the officer's acquisition (O1 through O4) and demonstration (all officers) of seamanship or airmanship expertise (expert skill or knowledge). The following factors should be considered: easy application of the rules of the road and Federal Aviation Regulations (FARs); understanding of, and facility with relative motion concepts; good "sea sense" and a feel for the forces acting on ships or aircraft; and the ability to translate environmental inputs and mission requirements into consistently correct control applications and leadership decisions. These are some of the factors which indicate potential for future successful operational assignments including operations officer, executive officer, and command. In short, compare and discuss the officer's critical competency requirements with regard to seamanship or airmanship.

g. A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.

h. Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 10.A.4.h.

i. All comments shall be confined to the space allotted to the Supervisor. No comments shall be continued from one comment block to another.

5. **Section 6, Supervisor Authentication**.

a. Block a. SIGNATURE—The Supervisor's signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed or stamped name is required to clearly identify the Supervisor. Include Service abbreviation if other than Coast Guard.

b. Block b. GRADE—Two-character military pay grade, or civilian equivalent (e.g., O6, GS12).

c. **Block c. EMPLID —Enter Employee ID Number in this block. Non-Coast Guard Supervisor shall enter last four digits of Social Security Number.**

d. Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Assignments Branch).

e. Block e. DATE—The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals (e.g., 2000/04/25).

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

6. **Section 7, Reporting Officer Comments**.

a. This section provides an opportunity for the Reporting Officer to comment on the Supervisor's evaluation. Although **this section is** not mandatory, Reporting Officers are encouraged to cite other information and observations they may have which would confirm or provide another perspective of the Reported-on Officer's performance and qualities demonstrated during the reporting period. By doing so, the Reporting Officer gives a more complete picture of the Reported-on Officer's capabilities.

b. Section 7 shall not include continuing comments from any other comment block.

7. **Section 8, Personal and Professional Qualities**.

a. This section measures an officer's personal and professional qualities. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. The standards are not the same for all forms. Reporting Officers must read each standard carefully. A space for supporting comments follows each set of dimensions.

b. For this evaluation area, the Reporting Officer shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each performance dimension, the Reporting Officer shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Reporting Officer shall take care to compare the officer's performance and qualities against the standards - not to other officers and not to the same officer in a previous reporting period. After determining which standard best describes the Reported-on Officer's performance and qualities during the marking period, the Reporting Officer fills in the appropriate circle on the form in ink.

c. Where the Reporting Officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not

observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" block.

d. In the "comments" block following this evaluation area, the Reporting Officer shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Reporting Officer shall draw on his or her own observations, information provided by the Supervisor, and other information accumulated during the reporting period.

e. Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Well-written comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for marks.

f. Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 10.A.4.h.

g. All comments shall be confined to the space allotted to the Reporting Officer. No comments shall be continued from one comment block to another.

**8. <u>Section 9, Comparison and Rating Scales</u>.**

**a.** COMPARISON SCALE (W2 to O2 and O3 to O5 forms): The Reporting Officer shall fill in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.

**b. RATING SCALE (O5 form): The Reporting Officer is required to fill in one Comparison Scale mark and one Promotion Scale mark. For the Promotion Scale, the Reporting Officer must select "Recently promoted to O5" or "Already selected to O6", if either one applies. The Reporting Officer is required to provide the Reviewer with a copy of their most recent rating scale history. Non Coast Guard Reporting Officers are not required to provide a rating scale history. The rating scale history is found in Direct Access as follows: HOME> SELF SERVICE> EMPLOYEE>VIEW>OFF COMPARISON SCALE SUMMARY.**

**c. RATING SCALE (O6 form)**: The Reporting Officer shall fill in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.

**d.** No specific comments are required to support the Reporting Officer's judgment in this section. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade. A mark of "unsatisfactory" requires compliance with Article 10.A.4.h.

**e.** No mark need be entered if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 10.

9. Section 10, Potential.

a. The Reporting Officer shall comment on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard. These comments shall be limited to performance or conduct demonstrated during the reporting period.

b. Comments in this section reflect the judgment of the Reporting Officer and may include, but are not limited to, the following:

- Qualification to assume the duties of the next grade.

- Specialties or types of assignment, such as command, for which the Reported-on Officer is qualified or shows aptitude.

- Recommendations for selection to a senior service school.

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

c. Comments shall be confined to the allotted space on the form.

10. Section 11, Reporting Officer Authentication.

a. Block a. SIGNATURE—The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed or stamped name is required to clearly identify the Reporting Officer. Include Service abbreviation if other than Coast Guard.

b. Block b. GRADE—Two-character military pay grade, or civilian equivalent (e.g., O6, GS14).

c. **Block c. EMPLID—Enter Employee ID Number. Non-Coast Guard Reporting Officer shall enter last four digits of Social Security Number.**

d. Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Management Branch).

e. Block e. DATE—The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-the-period is prohibited. Enter date using a numeric format (e.g., 2000/11/22).

11. Section 12, Reviewer Authentication.

a. When adding comments, the Reviewer checks the "Comments Attached" box in Block a.

b. Block b. SIGNATURE—The Reviewer's signature verifies that the OER has been completed properly and in accordance with these instructions. A typed or stamped name is required to clearly identify the Reviewer.

c. Block c. GRADE—Two-character military pay grade or civilian equivalent (e.g., O6, SES1).

**d. Block d. EMPLID—Enter Employee ID Number.**

e. Block e. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division).

f. Block f. DATE—The date the Reviewer completed the review and forwarded the OER to the OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is prohibited. Enter date using a numeric format (e.g., 2000/11/22).

g. On form CG-5315 (series), the Reviewer may comment on the Reported-on Officer's performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or explained further. Comments and a comparison/rating scale mark are required if the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as **Director of Health and Safety (CG-11)**; Article 10.A.2.f.2.b. The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions. Additionally, the Reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer's potential.

h. The Reviewer shall forward the completed report, together with any authorized attachments, to the appropriate OER Administrator.

12. Section 13, Return Address. The Reported-on Officer provides the home address to which the official copy of the OER will be returned when the original is filed in the officer's record. Use of this page is mandatory for return address purposes; however, the checklist is optional. If Reported-on Officer is in the process of a PCS move, the new home address may be used or the address of a relative/friend.

13. Section 14, OER Administrator Review. Use of this block by OER Administrators is optional.

14. Validation. **The validated, original OER will be mailed to the Reported-on Officer by CGPC-adm-3.**

## 10.A.4.d. Format for Reviewer Comments

1. Reviewers desiring to attach comments to the OER shall restrict their comments to a maximum of one page of form CG-5315 (series) or one single-spaced page (8½" x 11") typed on one side with no enclosures. The comparison scale is not to be completed unless the Reviewer comments are mandatory Article 10.A.4.c.11.g.

2. When form CG-5315 is not used, Reviewer comments shall be formatted as follows:

   a. NAME/RANK/SSN OF REPORTED-ON OFFICER.

   b. PERIOD OF REPORT.

   c. REVIEWER COMMENTS:

   d. Add comparison or rating scale if required by Article 10.A.2.f.

   e. Following the last line of comments the Reviewer shall sign as below:

      Signature/Date
      Name: Rank: (typed)
      Reviewer

3. Reviewer comments should be stapled to the back of the OER.

## 10.A.4.e. OER Administrator

1. After the OER Administrator has processed the OER, the original and two photocopies and any authorized attachments will be mailed directly to Commander (CGPC-rpm) for reserve OERs or the original and one photocopy of the OER and any authorized attachments will be mailed directly to Commander

(CGPC-opm-3) for active duty OERs to arrive not later than 45 days after the end of the reporting period; Article 10.A.2.f.

2. Mail OERs in double envelopes with the inner envelope marked "Officer Evaluation Reports - For Official Use Only,' unless mailed directly to either a rating chain member, Commander (CGPC-rpm) or Commander (CGPC-opm-3). A double envelope is required if the OER is mailed through any chain of command or via any addressee.

### 10.A.4.f. Restrictions

Members of the rating chain shall not:

1. Mention the officer's conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, PRRB, CGBCMR, or any other investigation (including discrimination investigations) except as provided in Article 10.A.3.c. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under Article 10.A.4.g. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to the proceeding itself.

2. Consider or evaluate the performance of any officer as a member of court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by the Manual for Courts-Martial, M.C.M. 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels' advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. However, in commenting on such performance, whether favorable or unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).

3. Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel (e.g., references to non-voluntary retirement or separation).

4. Mention any PRRB or CG BCMR application or decision.

5. Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. The mention of NFFD status is prohibited.

6. Mention pregnancy. Restriction applies to Reported-on Officer and family members.

7. Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.

8. 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). Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.

9. Refer to the Reported-on Officer by first name.

10. Refer to Reported-on Officer's marital or family status.

11. Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period.

12. Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.

### 10.A.4.g. Reported-on Officer Reply

1. The Reported-on Officer may reply to any OER regardless of its content and have this reply filed with the OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official.

2. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in Article 10.A.4.f. apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.

3. Reported-on Officer replies must be submitted to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the original rating chain. Replies shall not be forwarded through the OER Administrator. If the whereabouts of the original rating chain members are unknown, submit the original and one copy directly to Commander (CGPC-rpm) or Commander (CGPC-opm-3) who will forward the reply to the Supervisor, Reporting Officer, and Reviewer.

4. Replies must be submitted to the Supervisor within **21** days from receipt of the **original, validated OER** from Commander (CGPC-opm) or Commander (CGPC-rpm). Replies based upon receipt of local copies will not be accepted.

5. The OER Reply should be processed by the rating chain to arrive at Commander (CGPC-rpm) or Commander (CGPC-opm-3) not later than 30 days after the date

the Reply was submitted to the Supervisor.

6. The Reported-on Officer shall inform Commander (CGPC-rpm) or Commander (CGPC-opm-3) directly by written communication (E-mail is acceptable) if the **original, validated OER** Reply has not been received 60 days from the date the Reply was submitted to the Supervisor.

7. Reported-on Officer replies do not constitute a request to correct a record. An officer who believes his or her OER contains a major administrative or substantive error should follow the procedures to correct military records as outlined in Article 10.A.7. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review of a Reported-on Officer's reply, concur with the Reported-on Officer that an error may be present in the OER, shall return the reply to the Reported-on Officer and assist that officer in following Article 10.A.7. procedures.

8. Format for replies:

Date: (Submitted to Supervisor)

*Signature*
From: (RANK, NAME, USCG/USCGR)

To: Commander, Coast Guard Personnel Command (opm-3)
Thru: (1) (Original Supervisor by name)
(2) (Original Reporting Officer by name)
(3) (Original Reviewer by name)

Subj: OER REPLY

Ref: (a) Personnel Manual, COMDTINST M1000.6 (series)

1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period **(Year/Month/Day) to (Year/Month/Day)**.

#

9. Reported-on Officers shall limit their replies to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the reply shall limit that response to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond to the reply, he or she shall initial and date in the thru block of the Reply, and forward through the rating chain.

10. Any rating chain member who, upon reviewing a Reported-on Officer's reply, finds reason to concur that an error of fact may be present in the OER shall comment in their response and assist the officer in following the records correction procedures in Article 10.A.7.

## 10.A.4.h. Derogatory Reports

1. Definition. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of assigned duties. Derogatory reports are only those OERs which:

   a. Contain a numerical mark of one in any performance dimension, or

   b. Contain an "unsatisfactory" mark by the Reporting Officer in section 9.

   c. Documents adverse performance or conduct which results in the removal of a member from his or her primary duty or position.

2. Processing. Derogatory OERs are processed as follows:

   a. The Reporting Officer shall provide a copy (authenticated through Section 11) to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer is not required to prepare an addendum. The Reported-on Officer's addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from an official request for correction of the record under Article 10.A.7. or submitting an OER Reply under Article 10.A.4.g.

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

   c. If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: "I am aware of the contents of the performance report and decline comment." An addendum by the Reported-on Officer must be made within 14 days of receipt of the OER unless an extension is specifically requested from Commander (CGPC-rpm) or Commander (CGPC-opm-3). If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Attachment specifically stating that an addendum was solicited but not received.

   d. The Reviewer shall ensure that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, he or she shall return the report to the Reporting Officer for additional information and/or clarifying comments. Any

substantive changes to the OER require its return to the Reported-on Officer to provide another 14-day opportunity for the Reported-on Officer to revise the addendum.

e. Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer shall limit the addendum to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Rating chain members, addressing the Reported-on officer's addendum, shall each limit their comments to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures.

### 10.A.4.i. Format for Addendum

1. Reported-on Officers and members of the rating chain shall each identify their attachments in the format below:

   a. NAME/RANK/SSN OF REPORTED-ON OFFICER.

   b. PERIOD OF REPORT.

   c. REPORTED-ON OFFICER/SUPERVISOR/REPORTING OFFICER/REVIEWER COMMENTS:

   d. Following the last line of comments the rating chain shall sign as below:

   Signature/Date
   Name: Rank: (typed)
   Rating chain designation

2. The addendum and attachments should be stapled to the back of the OER before submission to the OER Administrator.

### 10.A.4.j. Review of OERs at Coast Guard Personnel Command

1. OERs sent to Coast Guard Personnel Command by OER Administrators are received by Commander (CGPC-rpm), Reserve Personnel Management Division or Commander (CGPC-opm-3), Officer Evaluations Branch.

2. Commander (CGPC-rpm) or Commander (CGPC-opm) reviews OERs for substantive errors. Particular attention is given to inconsistencies between the numerical evaluations and written comments. The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure OERs have been prepared in accordance with OES guidelines.

3. Reports found unacceptable are returned to the Reporting Officer, via the Reviewer, with a letter identifying areas for correction. When corrected by the appropriate member(s) of the rating chain, OERs are returned to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the rating chain within 30 days.

4. **After an OER has been validated, Commander (CGPC-rpm) or Commander (CGPC-opm-3) will forward the original, stamped OER to CGPC-adm-3 for scanning into the Military Personnel Data Record (PDR) system. CGPC-adm-3 will then mail the original, validated OER to the Reported-on Officer.**

### 10.A.4.k. Correction of OERs

1. Comments in the OER must be sufficiently specific to present a complete picture of the Reported-on Officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned and justify those marks which deviate from a four. On those marks indicated by Commander (CGPC-rpm) or Commander (CGPC-opm-3) as not being supported, the Rating chain should either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided**.**

2. Administrative Remarks:

   a. Marks and comments may be changed only by the original Supervisor and Reporting Officer.

   b. Comments must be confined to the allotted space on the form. The Supervisor's comments must be confined to Sections 2-5 and the Reporting Officer's to Sections 7-8 and Section 10. Only the Reviewer may add a comment sheet in compliance with Article 10.A.4.d.

   c. All changes to the original OER should be initialed.

   d. The dates in Blocks 6.e., 11.e., and 12.f. should be adjusted to reflect the date that the necessary changes and reviews were actually made.

   e. A new OER form should be used if the corrections are extensive. A new form is required if more than two marks are changed or a different size or style of type is used for additional comments. The date submitted (Block 1.l.) should not be changed.

   f. The revised OER should be returned via the Reviewer, not the OER Administrator.

## 10.A.5. Preparation and Use of the Duty under Instruction (DUINS) OER

### 10.A.5.a. General

This section describes the procedures for preparing and processing Duty Under Instruction (DUINS) Officer Evaluation Reports (OERs).

1. The OER (CG-5310 (series)) submission schedule for officers assigned to DUINS shall be as follows:

    a. When a Reported-on Officer is assigned PCS duty under instruction to a civilian institution, Naval Post Graduate School (NPS) Monterey, or an Armed Forces School (Service or senior Service), OER submission will be coordinated with routine breaks in the school's academic schedule. For lieutenants (junior grade) and below, at a minimum OERs shall be submitted twice a year. For lieutenants and above, at a minimum OERs shall be submitted once a year.

    b. When a Reported-on Officer is assigned PCS duty under instruction to <u>industry training</u>, OERs shall be submitted upon detachment of the officer or completion of the program.

    c. When a Reported-on Officer is assigned PCS duty under instruction to <u>Flight Training</u>, OERs shall be submitted at the end of each training phase.

    d. When a Reported-on Officer is assigned PCS duty under instruction and performing duty as an intern or trainee at a Coast Guard unit (e.g., Law student, legal staff intern), a concurrent OER may be submitted for a period of greater than 14 days. This concurrent OER provides an opportunity for DUINS students to document performance and is an exception to the guidelines provided in Article 10.A.3.c.2.

2. Use the DUINS flowchart (Figure 10.A.7.) for general guidance when submitting a DUINS OER.

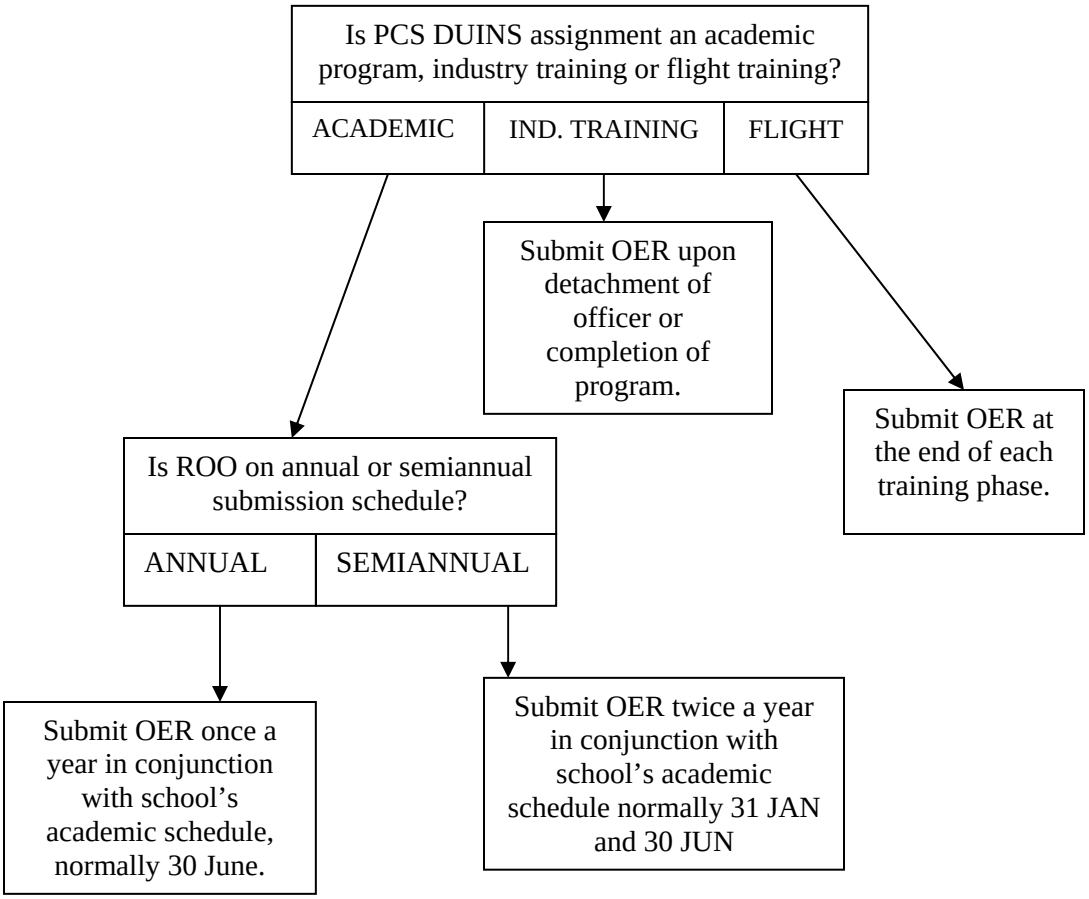
### 10.A.5.b. Designation of Rating Chain Members

1. For Reported-on Officers assigned PCS duty under instruction to a civilian institution, industry training, or to NPS Monterey, rating officials will be individuals within the appropriate program managing office.

2. For Reported-on Officers assigned PCS to duty under instruction to Service schools such as flight training, Naval War College (command and staff), AFSC, etc., the host Service's chain of command will function as the Supervisor and Reporting Officer. The Reviewer will be either the Coast Guard liaison officer (if any) or an individual within the appropriate program managing office.

3. For officers assigned PCS to duty under instruction to **Senior** Service Schools, e.g., Air War College, Naval War College, National War College, or **Brookings Institute**, etc., the host Command's chain of command will function as the Supervisor and Reporting Officer. The Reviewer shall be a Coast Guard officer in the grade of captain or above from the appropriate program managing office.

# OER FOR DUTY UNDER INSTRUCTION (DUINS)
## 10.A.5.a(1)




Key:
ROO = Reported-on Officer

FIGURE 10.A.7

## 10.A.5.c. Preparation

1. Section 1—Administrative Data. The Reported-on Officer will complete all items in this Section and Section 13 (Return Address). The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

   Items:

   **a.** NAME—Last and initials only.

   **b.** SOCIAL SECURITY NUMBER—Ensure correct.

   **c.** GRADE—Two-character pay grade (e.g., W2, O5) as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.

   **d.** DATE OF RANK—Date of rank in all numerals (e.g., 1997/01/23) for the rank of the officer associated with the period of report.

   **e.** UNIT—The name of school, college, or university being attended or designation of industry training.

   **f.** ADMINISTRATIVE TARGET UNIT (ATU)—OPERATING FACILITY (OPFAC).

   (1) ATU—Use the two-digit numeric designation of personnel servicing unit to which administratively assigned (e.g., 01 for First District, 98 for Headquarters).

   (2) OPFAC—Use the OPFAC number assigned to the institution.

   **g.** DAYS NOT OBSERVED—Enter a two-digit number in all categories representing the days not observed during the evaluation period.

   **h.** DATE REPORTED—Indicate the actual date of reporting to the school specified in f. as shown by endorsement on orders. Enter date in the same format as e. above.

   **i.** PERIOD OF REPORT—The regular reporting period commences the day after the ending date of the previous regular OER and ends on the date of the occasion for the report. Dates shall be entered in the same format as e. above.

   **j.** OCCASION FOR REGULAR REPORT—Mark "Annual," “Semiannual" or "Detachment of Officer" as the occasion for the report.

**k.** EXCEPTION REPORT - Leave unmarked.

**l.** DATE SUBMITTED—The date the Reported-on Officer submits the OER form to the Supervisor. Dates will be entered in the same format as (d) above.

2. Section 2, Description of Duties and Attachments.

   a. Identify the institution or school attended and its location, the program or degree sought or earned, and the expected duration or completion of the program **(e.g., Primary Duty: DUINS – UNIVERSITY OF SAN DIEGO).**

   b. List documents attached to the OER. Letter reports signed by school officials are required at the completion of a DUINS assignment at the Naval War College (senior college), Army War College, Air War College, ICAF, National War College, Harvard National Security Fellowship, National Defense University (NDU) Research Fellowship, and Sloan Fellowship.

   c. Do not attach transcripts or diplomas.

3. Sections 3 through 10.

   a. The "Not Observed" circle shall be used for all marks. Leave section 9 (comparison or rating scale) blank.

   b. As applicable to the program being attended, course titles, grades, and grade point average for each semester covered by the OER shall be listed in Block 3f.

   c. No other comments are authorized in these sections.

4. Reviewer Comments. Reviewer comments shall follow the format specified in Article 10.A.4.d.

## 10.A.6. Preparation and use of the OSF Worksheet

### 10.A.6.a. General

This section suggests procedures for preparing and using the optional OSF worksheet. This form may be used by either the Reported-on Officer, the Supervisor, or both, as an aid to establishing a clear understanding of job expectations and assist the Supervisor in providing constructive performance feedback and in preparing proper evaluations. Use of the OSF or similar format is mandatory for Supervisors of all Reported-on Officers in the grades of ensign and lieutenant (junior grade). The form may be handwritten or typed. If a documentation format other than the OSF is used, general adherence to the major sections of the OSF are encouraged.

### 10.A.6.b. Functions of the OSF

1. Serves as a vehicle for clarifying the Reported-on Officer's job responsibilities and areas of the job which either the Reported-on Officer and/or Supervisor feel should receive emphasis during the reporting period.

2. Serves as a means for the Reported-on Officer to inform the Supervisor if beginning or end-of-period performance feedback or counseling is desired.

3. Provides the Reported-on Officer a means of bringing to the Supervisor's attention significant accomplishments or aspects of performance which occurred during the period.

4. Provides a convenient place for the Supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.

5. Serves as a vehicle for giving specific, constructive performance feedback.

6. Assists the Supervisor and Reporting Officer in preparing well-substantiated performance evaluations.

7. Serves as a vehicle for the supervisor of a TAD officer, assigned temporarily for periods of less than 60 days, or an ADSW officer, assigned temporarily for periods of 6 months or less, to relay information to the Reported-on Officer's OES Supervisor. The OSF is normally submitted to the Supervisor upon detachment of the officer from TAD.

8. Serves as a means for district commanders to report on commanding officers of Headquarters units located within their districts. This is an optional avenue to address community relations and those aspects of performance relating to the support services defined in Memoranda of Understanding (MOUs), host-tenant agreements, intra-service support agreements, or similar contracts. If used, OSFs will be submitted directly to the Reported-on Officer's regular Supervisor approximately 21 days before the end of the reporting period.

### 10.A.6.c. The Form

Form CG-5308 (12/97) may be used for all grades of officers. It consists of four pages with six major sections:

1. Administrative Data

2. Description of Duties

3. During Period Adjustments

4. Accomplishments and Shortcomings for the Reporting Period

5. Supervisor Comments on Reported-on Officer Accomplishments and Shortcomings

6. Performance Observations

### 10.A.6.d. Preparation

1. Section 1, Administrative Data.

   a. NAME/RANK OF REPORTED-ON OFFICER.

   b. NAME/RANK OF SUPERVISOR—Normally, this will be the primary Supervisor as published in the rating chain.

   c. PERIOD COVERED—The period of time covered by the information noted in the form. Normally the same as the OER reporting period.

2. Section 2a, Description of Duties.

   a. This space provides opportunity for the Reported-on Officer or Supervisor to make a "common sense" outline of the Reported-on Officer's normal duty requirements for the specific billet or duty position.

   b. Entries should show the type of work required rather than frequently changing tasks.

   c. Descriptions should be clear, concise, and specific; explain what the Reported-on Officer's job is; and not merely list primary and collateral duty titles.

   d. Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.

3. Section 2b, Areas of Emphasis.

   a. This section provides an opportunity for the Reported-on Officer or Supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.

   b. Particular goals for the Reported-on Officer's professional development during the period may be listed as well (such as completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses, etc.).

4. Section 2c, Initial Meeting Desired.

   a. This section shall be used by the Reported-on Officer to notify the Supervisor if a meeting is desired at the beginning of the reporting period to discuss what is expected for the coming period. If the Reported-on Officer desires a meeting, they shall submit the OSF to the Supervisor no later than 21 days before the beginning of the reporting period.

   b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

5. Section 3, During Period Adjustments.

   a. This section is useful when circumstances affecting the Reported-on Officer's duties, projects, and areas of emphasis change to any significant degree.

   b. The Reported-on Officer or Supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact upon the Reported-on Officer's ability to attain the expected results.

6. Section 4a, Accomplishments for the Period.

   a. In this section, the Reported-on Officer may list accomplishments and progress toward completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.

   b. If the Reported-on Officer intends to apprise the Supervisor of accomplishments or progress for the period using the OSF, the Reported-on Officer shall submit the OSF no later than 21 days before the end of the reporting period.

7. Section 4b, End of Period Meeting Desired.

   a. The Reported-on Officer shall use this section to notify the Supervisor an end-of-period meeting is desired.

   b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

8. Section 5, Supervisor's Comments on the Reported-on Officer's Accomplishments and Shortcomings for Period.

   a. The Supervisor may affirm, supplement, expand, or otherwise comment upon

the Reported-on Officer's accomplishments during the reporting period. The Supervisor should draw from the information generated by conferences and other performance.

b. Comments here may become a subject for discussion during the end-of-period conference.

9. Section 6, a-f, Performance Observations.

a. This section of the OSF is used by the Supervisor to note specific examples of the Reported-on Officer's performance or qualities observed or brought to the Supervisor's attention in each of the major evaluation areas of the OER.

b. The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and substantiating evaluations on the OER. Entries are best noted chronologically as they occur in the appropriate evaluation area.

c. For convenience, the Supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the Reported-on Officer's performance during the reporting period.

d. Supervisors are encouraged to exercise imagination in utilizing section 6 of the OSF as an aid in obtaining information related to the Reported-on Officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the Reported-on Officer's performance or the performance of their organizational unit are acceptable and may be helpful.

## 10.A.6.e. Disposition of the OSF

1. When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from his or her copy to the original, which has been held by the Reported-on Officer during the period. Having used the OSF as an aid in evaluating the Reported-on Officer's performance, the Supervisor then forwards the original OSF, the OER, and any other information available to the Reporting Officer. The Supervisor then destroys the copy of the OSF, if different from the original. A photocopy of the original may be retained.

2. The step in paragraph 1. above (describing the transfer of information from a working copy to the original OSF) represents one recommended way and is not intended to restrict the Supervisor in finding a flexible or more convenient way to finalize the OSF. There are a variety of approaches by which information may be obtained or transferred from one form to another subject to the Supervisor's preference. The goal is for the Reported-on Officer to be aware of what his or

her evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.

3. Supervisors and Reported-on Officers are encouraged to be flexible in using the OSF as an aid in carrying out their duties within the spirit of these instructions. Filing copies of correspondence, messages, work lists, trip reports, and even paper notes in the OSF is a sound means of spontaneously documenting the Reported-on Officer's performance. These documents can greatly assist in giving performance feedback and writing an evaluation.

4. Assisted by the OSF, personal observations, and other information available, the Reporting Officer evaluates the Reported-on Officer's performance of duties, personal qualities, and potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.

## 10.A.7. Correction of Military Records

Coast Guard officers are encouraged to review their record periodically. While Commander, (CGPC-opm) and Commander (CGPC-rpm) attempt to ensure that OERs accurately reflect officers' performance, the possibility of administrative or substantive error still exists. Accordingly, officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error. Those officers wishing to exercise this right should follow the procedures to correct military records contained in Article 14.B. for forwarding the application to the Personnel Records Review Board (PRRB) or Board for Correction of Military Records (BCMR), as appropriate. The application may be forwarded through the original rating chain at an officer's option. If the whereabouts of the original members of the rating chain are unknown, officers should submit the application directly to the PRRB or BCMR. Additionally, an officer may forward his or her application via the officer's current chain of command but is not required to do so and may send the application directly to the PRRB or BCMR.

## 10.A.8. OES Changes

### 10.A.8.a. General

Commander (CGPC) will report annually on the health of the Officer Evaluation System (OES). Statistical trends and conclusions will be included in the report, plus recommended changes for the current year and identification of issues and/or changes under consideration.

### 10.A.8.b. Participation

Anyone is encouraged to recommend improvement or change. Address formal or informal correspondence to Commander (CGPC-rpm) or Commander (CGPC-opm-3). Communication by telephone is also encouraged to discuss issues or areas of personal concern.

## CONTENTS

***10.B. ENLISTED PERFORMANCE EVALUATION SYSTEM (EPES) 1***

**10.B.1. GENERAL 1**
10.B.1.a. Purpose 1
10.B.1.b. Policy 1

**10.B.2. ADVERSE ADMINISTRATIVE REMARKS ENTRY, CG-3307 1**
10.B.2.a. Discussion 1
10.B.2.b. Definitions 2

**10.B.3. DESIGNATING OFFICIALS 4**
10.B.3.a. Evaluators 4
10.B.3.b. Delegating Approving Official Authority 6
10.B.3.c. Approving Official Supervises Member 6
10.B.3.d. Flag Officer Supervises Member 7
10.B.3.e. Member Assigned to units without Access to Direct Access 7

**10.B.4. RESPONSIBILITIES 7**
10.B.4.a. The Unit 7
10.B.4.b. The Evaluee 7
10.B.4.c. The Rating Chain 8

**10.B.5. SUBMISSION SCHEDULE 11**
10.B.5.a. Regular Enlisted Employee Reviews 11
10.B.5.b. Unscheduled Enlisted Employee Reviews 13

**10.B.6. THE ENLISTED EMPLOYEE REVIEW PROCESS 16**
10.B.6.a. General 16
10.B.6.b. Documentation 17

**10.B.7. THE ADVANCEMENT RECOMMENDATION 18**

**10.B.8. GOOD CONDUCT AWARD ELIGIBILITY 19**
10.B.8.a. Eligibility 19
10.B.8.b. An Unsatisfactory Conduct Mark 19

**10.B.9. APPEALS 20**
10.B.9.a. General 20
10.B.9.b. Responsibilities 20

**10.B.10. WAIVING AND CHANGING ENLISTED EMPLOYEE REVIEW MARKS 22**
10.B.10.a. Waiving Enlisted Employee Reviews 22
10.B.10.b. Changing Enlisted Employee Review Marks 22

**FIGURE 10.B.3.1.**

**ENLISTED EMPLOYEE REVIEW RATING CHAIN**

| **Unit Type** | **Supervisor[1]** | **Marking Official[1]** | **Approving Official[1]** | **Appeal Authority[1]** |
|---|---|---|---|---|
| Headquarters | As Division Chief designates | Division Chief | Office and Staff Chiefs | Assistant COMDT (G-A, **CG-1**, etc.)[6] |
| Area/MLC Offices | Supervisor as Branch Chief designates | Section Chief | Operations Branch or Chief, Staff Components | Area/MLC Commander |
| District Offices | Section Chief or as Branch Chief designates | Branch Chief | Division Chief or Chief, Staff Components | District Commander |
| Academy | Section Chief or as Branch Chief designates | Branch Chief | Division Chief | Superintendent (including EAGLE) |
| Headquarters Units | As Division Chief designates | Division Chief | Commanding Officer[10] | **Assistant COMDT (CG-12, CG-13, etc.)** |
| TRACEN | As Approving Official designates | As Approving Official designates | Division Chief or Training Division Branch Chief | Commandant (**CG-13**)[8] |
| Area/District Vessels/Units[2] | As Marking Official designates | Department Head, Division Chief[5] | Commanding Officer | Area/District Commander |
| Units/Vessels, Groups, Sections, **Sectors**[2] | As Marking Official designates | Department Head, Division Chief[5] | Commanding Officer, Group/ Section/**Sector** Commander[7] | District/MLC Commander |
| Group/Units/ Vessels/**OICs** | As Commanding Officer or Officer- in-Charge designates[9] | Executive Officer/ Executive Petty Officer | Group, **Sector** Commander/[3] Commanding Officer/Officer In Charge | District Commander |
| ADASGN Personnel and Reservists at PSUs and CNCWUs | As Commanding Officer designates | As Commanding Officer designates | Commanding Officer[4] | District/Area/MLC Commander |
| Master Chief Petty Officer of the Coast Guard | As designated by Approving Official | As designated by Approving Official | As designated by Approving Official | Commandant (G-CCS) |

**ENLISTED EMPLOYEE REVIEW RATING CHAIN FOOTNOTES FOR FIGURE 10.B.3.1.**

1. Article 10.B.2.b. for specific guidelines on the definitions of the rating officials.
2. Includes ship indoctrination units, aircraft program offices, detachments, liaison offices, and other similar units. For those units where Figure 10.B.3.1. does not clearly indicate roles, contact Commander (CGPC-epm-1) for direction.
3. Group and **Sector** commanders will be the Approving Official for employee reviews of officers in charge and may designate Marking Officials as defined in Article 10.B.2.l (2).
4. The Approving Official must be a Coast Guard officer or officer in charge (E-7 or above). Public Health Service officials assigned to Coast Guard commands may sign as Approving Official.
5. In rare circumstances, the executive officer or executive petty officer may serve as Marking Official where they provide primary task direction.
6. The Chief of Staff is the Appeal Authority for enlisted members assigned to the Commandant's staff and the Vice Commandant's staff. When the Commandant personally signs as Marking Official and Approving Official the Appeal Authority will be the Board for Corrections of Military Records.
7. **Sector commanders** have authority to assign division chiefs as Approving Official and branch chiefs as Marking Official for those members assigned to duty within their rating chain.
8. Commanding Officer, TRACEN Yorktown, Petaluma and Cape May have authority to assign Division Chief or Training Division Branch Chief as Approving Official for those members assigned to duty within their rating chain. CO has authority to grant an appeal. Appeals not granted will be endorsed by the CO and forwarded to Commandant (**CG-13**) for consideration and final decision.
9. The supervisor must be an E-6 or above.
10. **Commander, CG Telecommunication and Information Systems Command (TISCOM) has the authority to assign the Executive Officer as the Approving Official for enlisted personnel assigned.**

### 10.B.3.b. Delegating Approving Official Authority

Approving Official authority may not be delegated.

### 10.B.3.c. Approving Official Supervises Member

If an evaluee works directly for the Approving Official and no one else supervises the member, such as at district, MLC, CGPC, or Area independent staff components, liaison offices, detachments, etc., the Approving Official completes the entire employee review and any appropriate supporting remarks Article 10.B.2

### 10.B.3.d. Flag Officer Supervises Member

If an evaluee, such as a flag level Command Master Chief, Special Command Aide, etc., works directly for a flag officer, the flag officer completes the entire employee review and any required supporting remarks Article 10.B.2.

### 10.B.3.e. Member Assigned to units without Access to Direct Access

If an evaluee is assigned to a unit without access to **Direct Access**, the appropriate individuals shall utilize an Employee Review Worksheet Article 10.B.2.b.7., completing the Supervisor and Marking Official sections, if necessary. The completed worksheet is then forwarded to the member's designated Approving Official. Figure 10.B.3.l. for final review and entry into **Direct Access**.

## 10.B.4. Responsibilities

### 10.B.4.a. The Unit

1. Responsible for reviewing the personnel roster through **Direct Access** to determine when employee reviews are required Article 10.B.5.

2. Determine the reason for employee review if the member is being evaluated for any reason other than a regularly scheduled annual or semiannual employee review.

3. Initiates the EER and ensures all required competencies receive an assigned mark and the EER is forwarded through the rating chain.

4. Ensures employee reviews are completed, including the signed counseling sheet, not later than 21 days after the end of the employee review period ending date. If an evaluee refuses to sign the counseling sheet, a unit representative should so state in the evaluee's signature block and sign the statement prior to transmitting the completed EER to **PSC**. The unit provides the evaluee the original counseling sheet.

### 10.B.4.b. The Evaluee

The evaluee and the rating chain are responsible for meeting all EERS standards. The evaluee is ultimately responsible for:

1. Learning the EERS intent and procedures as set forth in these prescribed guidelines.

2. Finding out what is expected on the job.

3. Obtaining sufficient feedback or counseling and using that information in adjusting, as necessary, to meet or exceed the standards.

4. If desired, providing a list of significant accomplishments.

5. Signing in the member's signature block of the counseling sheet and retaining this form as a receipt to indicate acknowledgment of:

   a. The counseling and review of their employee review;

   b. The impact of their employee review on their Good Conduct eligibility;

   c. The appeal time frame;

   d. His or her advancement potential and recommendation.

6. Verifying through **Direct Access** self service that their individual employee review has been properly recorded.

### 10.B.4.c. The Rating Chain

1. The rating chain assesses an enlisted member's performance and value to the Coast Guard through a system of multiple evaluators who present independent views and thus ensure accurate, prompt, and correct reporting. It reinforces decentralization by placing responsibilities for development and performance review at lower levels within the command structure. It ensures the evaluee is evaluated on the required period ending date and the employee review is based on how the evaluee performed in each competency consistently throughout the period, except for Conduct, which must be adhered to every day of the period.

2. Responsibility for evaluating the performance of enlisted personnel has been placed at several different levels. The employee review begins with the evaluee's Supervisor and is progressively reviewed and modified, as necessary, by higher supervisory levels until finally approved by the Approving Official. Through this process, the EERS has a built-in check and accountability system to ensure supervisory personnel are aware of the importance of employee reviews and give them incentive to be totally objective and accurate. Each rating official shall:

   a. Review and correct any inconsistencies found in employee reviews when considering an individual's performance compared to the written standards;

   b. Hold the next lower supervisory level accountable for their employee reviews by observing the accuracy and quality of the employee reviews they submit, and by reporting the same on their EER or OER.

3. <u>The Supervisor.</u>

   a. Must become thoroughly familiar with the instructions, competencies, and standards before initiating an employee review(s).

   b. Must clearly communicate goals and acceptable standards of performance to the evaluee before and throughout the marking period.

c. Gathers all written and oral reports on the evaluee's performance. Ascertains the status of the evaluee's performance qualifications for next higher pay grade.

d. Establishes a method for the evaluee to provide input on his or her performance. A suggested method is to have the evaluee submit a list of significant achievements or aspects of performance midway during the marking period and not later than 14 days before the end of the marking period.

e. Routes the completed employee review to the Marking Official no later than nine days prior to the period ending date, including supporting comments for any recommended supporting remarks Article 10.B.2.

f. Counsels the evaluee on the employee review after the Approving Official's action. The importance of how effective this piece of the evaluation process can be in setting the evaluee up for future success cannot be over emphasized. How well the supervisor clearly communicates the member's past performance and methods in which to improve are primary to ensuring future success. The Supervisor is required to ensure the evaluee is provided with a printed counseling sheet and acknowledges receipt by obtaining their signature. Article 10.B.4.a.4.

4. The Marking Official.

a. Must become thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).

b. Gathers all written and oral reports on the evaluee's performance.

c. Reviews recommended marks. Discusses with the Supervisor any recommendations considered inaccurate or inconsistent with the member's actual performance, paying special attention to recommended 1s, 2s, 7s, unsatisfactory conduct marks, or low competency marks. Article 10.B.8.a. The Marking Official has the authority to return the employee review to the Supervisor for further justification or support for any marks.

d. Routes the completed employee review to the Approving Official not later than five days after the employee review period ending date.

e. Holds Supervisor accountable for his or her EERS responsibilities.

5. The Approving Official.

a. Must become thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).

b. Gathers all written and oral reports on the evaluee's performance.

c. Is responsible for ensuring:

(1) Overall consistency between assigned marks and actual performance/behavior and output without using any type of forced

distribution process;

(2) Evaluees are counseled and advised of appeal procedures;

(3) Employee reviews are submitted on time;

(4) The required supporting remarks are completed Article 10.B.2

(5) All reviews initiated using an Employee Review Worksheet are entered into DIRECT ACCESS. Article 10.B.2.b.7.

d. Reviews the Marking Official's recommended marks and discusses with him or her any recommendations considered inaccurate or inconsistent with the evaluee's actual performance, paying special attention to recommended marks of 1, 2, or 7; unsatisfactory conduct marks; low competency marks, or a "Not Recommended" mark in the Recommendation for Advancement competency. Article 5.C.4.b.1.l., 5.C.4.e.5.a. and 10.B.7.3. The Approving Official has the authority to return the employee review form to the Marking Official to further justify or support any marks Article 10.B.2.

e. Holds Marking Official responsible for his or her EERS responsibilities.

f. Forwards the completed employee review to the Supervisor to counsel and inform the evaluee.

g. Ensures the completed employee review, with supporting remarks (if applicable), are processed in sufficient time to permit them to be reviewed by the evaluee through **Direct Access** self service not later than 30 days following the employee review period ending date.

6. Commandant (**CG-1**). Commandant (**CG-1**) has overall responsibilities for the EERS for all enlisted personnel.

7. Commandant (**CG-122**) (for active duty members).

   a. Provides individual appeal and policy guidance.

   b. Maintains all applicable instructions and establishes policy governing the EERS.

8. Commandant (**CG-13**) (for reservists).

   a. Provides individual appeal and policy guidance.

   b. Maintains all applicable instructions and establishes policy governing the EERS.

9. Commander (CGPC-epm) or (CGPC-rpm).

   a. Monitors all applicable instructions, and policy governing the EERS.

b. Responds to individual and command requests related to EERS policy. Direct phone inquiries to Commander (CGPC-epm-1) or (CGPC-rpm).

c. Conducts statistical analysis of servicewide marking patterns to assist in system discipline.

10. Commanding Officer (PSC (adv)). Provides administrative quality control of all enlisted employee reviews.

## 10.B.5. Submission Schedule

### 10.B.5.a. Regular Enlisted Employee Reviews

1. Regular Enlisted Employee Reviews for active and reserve members are required to be submitted as shown in Figure 10.B.5.1. The deadline months shown in Figure 10.B.5.1 ensure all enlisted employee reviews are submitted in sufficient time for processing and completing the final multiple for Servicewide Examinations.

**Figure 10.B.1 – Regular Enlisted Employee Review Submission Schedule**

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

2. If the rating chain must perform an unscheduled enlisted employee review on the same period ending date as the member's regular period ending date, enter as regular instead of the unscheduled reason, excepting a disciplinary enlisted employee review; for that, enter the reason as disciplinary instead of regular.

3. Regular enlisted employee reviews may not be delayed. The unit rating chain is responsible for ensuring complete reviews are acknowledged by the evaluee and completed within Direct Access not later than 30 days after the enlisted employee review period ending date.

4. Do not complete a regular enlisted employee review on a member until the next regular period ending date when:

   a. An unscheduled enlisted employee review has been completed within 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists before the end of a regular period ending date,

   b. An evaluee has been assigned to a new duty station for fewer than 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists on a regular period ending date.

5. Do not complete any enlisted employee review for the following circumstances:

   a. Upon discharge, reenlistment, release from active duty, or retirement;

   b. Evaluee is undergoing Class "A," "C," advanced, or recruit training, except in disciplinary situations described in Article 10.B.5.b.3;

   c. Evaluee is in an unauthorized absence or desertion status on the regular period ending date;

   d. Evaluee is granted leave awaiting appellate review of a court-martial;

   e. Evaluee is in Home Awaiting Order Status (HAOS) awaiting Final Action of a Formal Physical Evaluation Review Board.

   f. On awarding NJP or civil conviction if the NJP award or conviction was due to an alcohol incident for which the member was previously assigned an unscheduled enlisted employee review. This exemption applies to alcohol incidents only.

   g. Upon advancement to any pay grade up to, and including, advancement to pay grade E-6.

6. **For reservists performing temporary assigned duty (TAD) at a unit other than their permanent unit for active duty due to mobilization or short-term Active Duty for Special Work (ADSW), it is the responsibility of the unit where the evaluee is performing active duty to complete and submit the evaluee's regular employee review when the evaluee has spent the last 92 days or more of the review period at that unit. The permanent unit provides supporting documentation for the evaluation. In cases where the evaluee has spent less than 92 days of the review period performing temporary assigned duty (TAD) at a unit other than their permanent unit for active duty due to mobilization or short-term ADSW, it is the responsibility of that unit to provide the evaluee's permanent unit with supporting documentation to use in completing the regular employee review.**

### 10.B.5.b. Unscheduled Enlisted Employee Reviews

Unscheduled enlisted employee reviews are conducted for any reason other than a regular enlisted employee review. While the EERS focuses on regular employee reviews, occasionally an unscheduled employee review is in order. Use the following to determine whether to perform a special employee review.

1. Complete an unscheduled employee review if the rating chain completed a regular or unscheduled review for a period ending more than 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists before one of the events listed below.

    a. Advancement or change in rating to pay grade E-7 or above. Complete an advancement employee review as of the day prior to the effective date of advancement or change in rating using the employee review competencies for the previously held pay grade.

    b. Detachment for permanent change of station. Commands shall ensure members sign the counseling sheet for transfer employee review NO LATER THAN 15 days before departing the unit to allow adequate time for counseling and appeal processing if required.

    c. Detachment for intra-command reassignments if the Approving Official will change.

    d. Detachment of an Approving Official who directly supervises an evaluee. Articles 10.B.3.c and 10.B.3.d.

2. **For reservists performing TAD at a unit other than their permanent unit for active duty due to mobilization or short-term ADSW, upon completion of the active duty period a special employee review shall be completed by the TAD unit if more than 92 days has elapsed since the last regular employee review, and supporting documentation will be provided to the reservist's permanent unit for the next regular employee review if less than 92 days have elapsed. Long-term ADSW (140 days or more) at a unit other than a reservist's previous SELRES unit is considered a permanent change of station; therefore, Article 10.B.5.b.1.b. applies. Long-term and short-term ADSW are defined in Chapter 3.B.4. of the Reserve Policy Manual, COMDTINST M1001.28 (series).**

3. The following events require an unscheduled enlisted employee review, regardless of the time since the last employee review.

    a. On the date a member is awarded non-judicial punishment (NJP) or convicted by a court-martial (CM).

(1) When a member awarded NJP or convicted by CM is stationed at a major Headquarters unit whose designated commanding officer of enlisted personnel for the command is not the regular Approving Official for the individual (i.e., Chief, Administration Division at a District Office or Commanding Officer, Headquarters Support Command), that officer sends a memorandum explaining the circumstances and a copy of the Court Memorandum, CG-3304, completed as a result of the NJP or CM to the member's designated Approving Official. The designated Approving Official uses the information provided to complete a disciplinary employee review when:

(a) A member, including all students except Class "A" school and PCS DUINS, is awarded NJP or convicted by CM while serving on TDY and is to return to the parent command on completing the TDY; e.g., commanding officer of a training center for a person attending a two-week course who is awarded NJP while at the training center. The command effecting the NJP or CM conviction sends a letter explaining the circumstances to the member's parent command, including with the letter a copy of the Court Memorandum, CG-3304, completed as a result of the NJP or CM. The member's parent command completes a disciplinary employee review using the information provided and its knowledge of the member's performance.

(b) When a member is awarded NJP or convicted by CM while serving PCS DUINS or as a Class "A" school student, the commanding officer completes a special disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.

(c) When a member is undergoing recruit training and is awarded NJP or convicted by CM, the commanding officer completes a disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.

(2) On the date a civil court convicts a member if the civil offense compares to similar offenses covered by the Uniform Code of Military Justice (UCMJ). The following guidelines apply:

(a) The Approving Official determines whether a civil offense resulting in conviction, action amounting to a finding of guilt or forfeiture of bail, is a minor or major offense compared to similar offenses covered by the UCMJ.

(b) Civil convictions must be evaluated carefully to avoid lowering conduct marks inappropriately or unjustly. Treat certain civil offenses;

e.g., parking tickets, as not warranting a disciplinary employee review unless they are excessive.

(c) If the Approving Official determines a civil offense is a minor offense, they should normally consider it equivalent to NJP. Examples of minor offenses might include provoking a fight, a minor case of disturbing the peace, or an excessive number of parking tickets.

(d) If the Approving Official determines a civil offense is a major offense, they should normally consider it equivalent to a CM conviction. Examples of major offenses include robbery or driving while intoxicated.

(e) If a civil offense warrants an employee review of a member undergoing any Class "A," "C," advanced, or recruit training, the commanding officer completes a disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.

(f) When a member is TDY, ADSW-RC, or ADSW-AC and convicted in civil court, the TDY, ADSW-RC, or ADSW-AC command writes a letter to the member's parent command to explain the circumstances. The parent command completes a special disciplinary employee review using the information provided and its knowledge of the member's performance.

4. For reduction in rate.

a. Reduction as punishment.

(1) Complete a disciplinary employee review effective the date punishment is imposed.

(2) Use the competencies for the rate from which reduced.

(3) If a reduction in rate was awarded but the punishment was suspended and the suspension was later vacated, complete a disciplinary employee review if more than 92 days have elapsed (for E-6 and below Enlisted Employee Reviews), 184 days (for E-7 and above Enlisted Employee Reviews), or 19 drill periods (for reservists) between the conviction and the reduction dates.

b. Reduction for incompetence or at the member's request.

(1) Complete a reduction enlisted employee review effective the day before the effective reduction date.

(2) Use the competencies for the rate from which reduced.

5. At the end of a three-month probationary period for incompetency. Article 5.C.38.c.

6. For Servicewide Examination (SWE) purposes. Complete a SWE enlisted employee review only if the rating chain has not completed an employee review for the current pay grade during the prescribed time frame for advancement. Chapter 5.C.

7. Complete a SWE enlisted employee review to allow Individual Ready Reserve (IRR) members to compete in a SWE.

8. A disciplinary enlisted employee review is required for a member who has an alcohol incident.

## 10.B.6. The Enlisted Employee Review Process

### 10.B.6.a. General

1. The rating chain will evaluate each enlisted member on the required period ending date to assess his or her actual performance since the last recorded employee review. The rating chain shall base employee reviews on how the member performed in each competency consistently throughout the period, except for conduct, to which the member must adhere every day of the period. Normally, a single, isolated event (either positive or negative) should not drastically affect the marks assigned during the employee review period. However, the rating chain must consider the overall positive or negative impact of the event.

2. The rating chain uses employee reviews to evaluate enlisted members' performance of duties in any position or pay grade, whether in specialty or not.

3. For members with a limited opportunity to perform for reasons such as illness, injuries, pregnancy, use the following guidelines.

   a. Occasionally, circumstances resulting from a temporary condition may limit a member's opportunity to perform. These circumstances may cause specific performance restrictions; e.g., those imposed by a medical authority, and may even require restructuring or reassigning duties. While rating chains shall not give preferential treatment, commanding officers shall ensure these individuals do not receive adverse employee reviews solely for these circumstances.

   b. In consultation with the health care provider, the commanding officer must establish a "reasonable expectation of performance" in the member's current circumstances. In particular, the commanding officer must determine whether a

member requires reassignment to a different work environment, restrictions on performing specific types of tasks, or reduced work hours. When considering reassigning or restructuring duties, commanding officers shall strive to identify service needs, which compliment the member's temporary limited abilities.

4. Members are divided into three pay grade groups: master, senior, and chief petty officers (E-9, E-8 and E-7); and petty officers (E-6, E-5 and E-4); and non-rated personnel with designators.

5. Each competency is defined in terms of three performance standards: low, middle, and high. These standards are not the same for each pay grade group. The higher the pay grade group, the higher the standards become, as should be expected considering their increased training and experience. All raters shall mark each evaluee against the written standards, not against others in the same rate or rating. .

6. For a mark of 2, 4, 0r 6, the member must meet these standards and no others in the next higher performance standard. A mark of 4 represents the expected performance level of all enlisted personnel. Normally, a single, isolated event, either positive or negative, should not drastically affect the marks assigned during the employee review period. However, the rating chain must consider the overall positive or negative impact of the event.

7. Use the following guidelines to assign marks:

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

### 10.B.6.b. Documentation

1. The employee review is designed to inform members how they are performing compared to the written standards. The form requires few or no supporting

remarks and should cover explicitly all performance factors for each evaluee. The rater may use the employee review as a tool in counseling the evaluee.

a. Raters must provide supporting remarks for certain marks, Article 10.B.2. These remarks serve as supplemental information on the evaluee in determining decisions such as OIC certification, removal for cause, regular duty assignments, or special duty assignments as a recruiter, instructor, investigator, or CMC.

b. Specific comments that paint a succinct picture of the evaluee's performance and qualities allow the reader to determine WHAT or HOW they exceeded or failed to meet the standards and may reduce or even eliminate subjectivity and interpretation.

c. The rater's challenge is to convey to the reader the performance picture observed daily. This is difficult because the reader does not "see" the evaluee in action and cannot read into a general comment what the evaluator sees every day and takes for granted. If the reader cannot form a clear performance picture, the human tendency is to disregard or assign a lesser value to the comments. This "collective group of words" could be the deciding factor in today's competitive environment for choice assignments.

2. The Approving Official may solicit other comments on observed performance to support any marks at any time. Likewise, the Supervisor or Marking Official may comment any time either believes more should be said about the evaluee in any competency or factor.

3. Use any comments that affected the employee's review results during the counseling and feedback session.

## 10.B.7. The Advancement Recommendation

1. While the rating chain must consider past performance, it must also consider and base the recommendation on the member's potential to perform satisfactorily the duties and responsibilities of the next higher pay grade, qualities of leadership, and adherence to the Service's core values. Each rating chain member must address this independent section every time they complete an employee review.

2. When completing this part of the employee review, the rating chain should focus on the guidelines in Chapter 5.C. on advancement recommendations and then select one of the following choices.

a. RECOMMENDED. The member is fully capable of satisfactorily performing the duties and responsibilities of the next higher pay grade. The rating chain should choose this entry regardless of the member's qualification or eligibility for advancement. If the member has met all eligibility requirements, choosing

this value constitutes an official recommendation for advancement. Personnel, E-6 and above, must receive a supporting remarks entry clearly documenting their present and future leadership potential for greater responsibility Article 10.B.2.a.(1)(e).

b. NOT RECOMMENDED. The member is not capable of satisfactorily performing the duties and responsibilities of the next higher pay grade.

3. If the Approving Official marks "Not Recommended," they must ensure the member is properly counseled on the steps necessary to earn a recommendation and prepare supporting remarks in accordance with Articles **5.C.4.b.2**., 5.C.4.e.5.a., and 10.B.2.

4. The Approving Official's decision on the advancement recommendation is final and may not be appealed. However, if the Approving Official learns new information and decides to change the recommendation, they should follow the procedures in Article 10.B.10.b.

## 10.B.8. Good Conduct Award Eligibility

### 10.B.8.a. Eligibility

A new period of eligibility for the Good Conduct award begins any time a member receives an unsatisfactory mark in conduct or a competency type total mark less than shown in the following chart.

| GROUP | MIL | PERF | PROF | LDRSHP |
|---|---|---|---|---|
| Non-rate | 9 | 18 | 18 | 12 (E-3 only) |
| PO | 6 | 21 | 18 | 21 |
| CPO | 6 | 27 | 18 | 21 |

### 10.B.8.b. An Unsatisfactory Conduct Mark

The rating chain must assign an unsatisfactory mark in conduct whenever an individual meets any of the criteria listed in Article 10.B.2.a.

1. Use the following guidelines to determine when terminating Good Conduct Award eligibility is warranted:

   a. On the effective date the member is awarded NJP or convicted by CM, or in civil court. Do not complete a special disciplinary employee review if the civil conviction was due to an alcohol incident for which the rating chain previously completed a special employee review. This exemption applies to alcohol incidents only. The rating chain must still document the civil conviction under Chapter 8.B.

b. On the employee review period ending date if the member receives an unsatisfactory conduct mark or lower than minimal competency marks or competency type totals.

2. Assigning an unsatisfactory conduct mark may impact advancement to the next higher pay grade, change in rate, or participation in the Servicewide Examination. Article 5.C. for specific guidance on advancements.

## 10.B.9. Appeals

### 10.B.9.a. General

1. The employee review is designed to be as objective as possible. However, when one human being evaluates another, there will be some subjectivity. Even when the member perceives no difference in performance from one period to the next, small variations in marks can occur.

2. The appeals process is designed to review marks the evaluee believes were based on:

   a. incorrect information;

   b. prejudice;

   c. discrimination; or

   d. disproportionately low marks for the particular circumstances.

3. The recommendation for advancement portion on the employee review may not be appealed.

### 10.B.9.b. Responsibilities

1. The member.

   a. Before writing an appeal, the member should request an audience with the rating chain to verbally express any concerns that could lead to a written appeal.

   b. If this meeting does not lead to an agreement between the Approving Official and the member, the member can appeal in writing and submit the appeal to the Appeal Authority indicated in Figure 10.B.3.1., via the commanding officer. If the member has been reassigned, they must submit the appeal to the Appeal Authority for the former command, via the commanding officer of that command.

c. The appeal letter must contain the specific competencies in dispute and supporting information indicating why the marks should be reviewed. Supporting information must include specific examples of demonstrated performance that indicate how the member met or exceeded the written standards. The member attaches a copy of the signed employee review counseling sheet as enclosure (1) and other enclosures pertinent to the assigned marks.

d. The member must submit the appeal within 15 calendar days (30 calendar days for reservists) after the date they signed the acknowledgment section of the counseling sheet for the disputed employee review.

e. If appealing more than 15 calendar days (30 calendar days for reservists) after the date the member signed the employee review acknowledgment section, the member must explain the circumstances that did not allow or prevented him or her from submitting the appeal within the prescribed time limit.

2. The commanding officer. In most cases the commanding officer is the Approving Official. However, for commands such as district offices, area offices, and MLCs, the commanding officer might not be the Approving Official. In these instances, the Approving Official is synonymous with the title commanding officer for the below responsibilities.

a. Each commanding officer must ensure all enlisted persons are aware of their right to appeal under this Article.

b. Each commanding officer must ensure counseling and clerical assistance are provided to any member desiring to exercise these appeal rights.

c. As a result of the appeal, a commanding officer may raise or leave marks unchanged, but may not lower any marks. If the member accepts the relief the Approving Official grants, the appeal need not be sent to the Appeal Authority. If the relief does not satisfy or only partially satisfies the member, the commanding officer must send the appeal and then comply with the change procedures in Article 10.B.10.b.

d. Commanding officers shall endorse and send the appeal letter to the Appeal Authority within 15 calendar days of receiving it from the member. The Appeal Authority may extend the 15 days if the commanding officer needs additional information before responding to the appeal; e.g., if a rating chain member has been transferred and the commanding officer needs more information from this member before they can respond to the appeal adequately. The commanding officer's endorsement should address this delay.

e. The commanding officer's endorsement shall contain specific examples of demonstrated performance that warranted the assigned marks and address any

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

3. Appeal Authority.

   a. The Appeal Authority must review and act on the appeal within 15 calendar days after receiving it. Commander (CGPC-epm-1) may extend the 15 days if the Appeal Authority needs additional information from either the member or commanding officer before responding to the appeal.

   b. In acting on an appeal, the Appeal Authority may raise or leave unchanged the member's marks, but may not lower any marks an Approving Official assigned.

   c. Once the Appeal Authority has decided, they should ensure copies of the appeal package (member's letter, command endorsement along with all enclosures, and Appeal Authority's action) are sent to Commander (CGPC-adm-3) for filing and to Commanding Officer, PSC (adv) for review and possible update to the member's employee review data.

## 10.B.10. Waiving and Changing Enlisted Employee Review Marks

### 10.B.10.a. Waiving Enlisted Employee Reviews

Occasionally it is either impossible to evaluate an evaluee; e.g., the member was inpatient or on sick leave during entire period, or an employee review period is overlooked administratively. In these and similar situations the Approving Official can submit a request to PSC (adv), seeking a waiver of the entire period by letter, specifying the reasons.

### 10.B.10.b. Changing Enlisted Employee Review Marks

1. Approving Officials are authorized to change any mark they assigned to members still attached to the unit if the Approving Official receives additional information that applies to the particular employee review period.

   a. If the employee review has not been marked final, the Approving Official discusses the marks with the Marking Official as noted in Article 10.B.4.d.4. If they change any marks, those changes must be entered in Direct Access. A new counseling sheet will be printed and acknowledge by the member.

   b. If the Approving Official already has submitted the employee review to PSC, the Approving Official writes, signs, and sends a letter to Commanding Officer, PSC (adv) to request changing the marks. The letter should contain the following information.

      (1) The member's name, rate, and employee ID,

(2) The period ending date,

(3) The specific competencies being changed,

(4) The original numerical mark, conduct mark or CO's recommendation for advancement,

(5) The revised numerical mark, conduct mark or CO's recommendation for advancement,

(6) A statement the member has been advised of these changes.

c. Commanding Officer, PSC (adv) changes the member's employee review in Direct Access.

d. The member shall verify through Direct Access self service that their individual employee review has been properly updated.

2. If judicial proceedings are later set aside, the current Approving Official reevaluates and adjusts marks on the special disciplinary employee review assigned by any Approving Official based on alleged offenses committed.

3. Any Approving Official who has reason to believe marks assigned by another commanding officer are erroneous shall write to Commander (CGPC-epm-1) describing the circumstances. This letter shall include any supporting documentation and a recommended course of action.

**CONTENTS**

***12.A. SEPARATING ACTIVE DUTY COMMISSIONED AND WARRANT OFFICERS 1***

**12.A.1. GENERAL 1**
12.A.1.a. Continuation of Status 1
12.A.1.b. Methods of Separation 1
12.A.1.c. Terminating Active Duty 1

**12.A.2. TYPES OF OFFICER DISCHARGES 1**
12.A.2.a. General 1
12.A.2.b. Honorable Discharge 1
12.A.2.c. General Discharge 2
12.A.2.d. Discharge Under Other Than Honorable Conditions 2
12.A.2.e. Dismissal Pursuant to General Court-Martial Sentence 3
12.A.2.f. Administrative Separation 3
12.A.2.g. Issuing Authority 3

**12.A.3. INTER-SERVICE TRANSFERS OF REGULAR AND RESERVE ACTIVE DUTY OFFICERS 3**
12.A.3.a. General 3
12.A.3.b. Procedure 4

**12.A.4. VACANT 4**

**12.A.5. RESIGNATIONS 4**
12.A.5.a. General 4
12.A.5.b. Submitting Requests to Resign 4
12.A.5.c. Deadline 5
12.A.5.d. Acceptance 5
12.A.5.e. Denying a Request 5
12.A.5.f. Request for Reserve Commission 5
12.A.5.g. Temporary Officers 6
12.A.5.h. Withdrawing a Request 6
12.A.5.i. Disapproving a Request 6

**12.A.6. FORMS OF OFFICERS' RESIGNATIONS 6**
12.A.6.a. Unqualified Resignation 6
12.A.6.b. Qualified Resignation if General Discharge Follows 7
12.A.6.c. Resignation for the Good of the Service 7
12.A.6.d. Resignation in Lieu of Trial Before a General Court-Martial 7

**12.A.7. RELEASING RESERVE OFFICERS TO INACTIVE DUTY 8**
12.A.7.a. Conditions for Approval 8
12.A.7.b. Automatic Release 9
12.A.7.c. Officers Outside CONUS 9
**12.A.7.d. Release of RPAs 9**

**12.A.8. INVOLUNTARY RELEASE OF RESERVE OFFICERS 9**

**12.A.9. DISCHARGING ACTIVE DUTY RESERVE OFFICERS 9**

**12.A.10. PHYSICAL EXAMINATION 10**
12.A.10.a. Terminology 10
12.A.10.b. Requirement 11
12.A.10.c. Exemption 11

12.A.10.d. Physical Disability Evaluation (PDES) 11
12.A.10.e. Delaying Separation 11
12.A.10.f. Action Upon Physical Examination Results 11

**12.A.11. REVOKING REGULAR OFFICERS' COMMISSIONS IN THEIR FIRST THREE YEARS OF SERVICE 12**
12.A.11.a. General 12
12.A.11.b. Procedure 12
12.A.11.c. Separation 13

**12.A.12. VACATING A TEMPORARY APPOINTMENT 14**
12.A.12.a. Authority 14
12.A.12.b. Procedure 14

**12.A.13. FAILING SELECTION FOR PROMOTION OR CONTINUATION 14**
12.A.13.a. Chief Warrant Officers 14
12.A.13.b. Ensigns 14
12.A.13.c. Lieutenants (Junior Grade) 15
12.A.13.d. Lieutenants 15
12.A.13.e. Regular Officers Serving Under Temporary Appointments 16
12.A.13.f. Lieutenant Commanders and Commanders 16
12.A.13.g. Captains 17
12.A.13.h. Effective Date of Separation 17

**12.A.14. DISMISSING OR DROPPING FROM THE ROLLS 18**
12.A.14.a. Limitation on Dismissal 18
12.A.14.b. Dropping from the Rolls 18

**12.A.15. SEPARATING REGULAR COAST GUARD OFFICERS FOR CAUSE 18**
12.A.15.a. Authority 18
12.A.15.b. Discussion 18
12.A.15.c. Causes for Separation 19
12.A.15.d. Relationship of Separation to Discipline 21
12.A.15.e. Initiating Action 21
12.A.15.f. Requiring Officers to Show Cause for Retention 22
12.A.15.g. Physical Qualifications for Separation 24
12.A.15.h. Board of Inquiry 24
12.A.15.i. Board of Review 32
12.A.15.j. Separation Date 33

**12.A.16. REVOKING THE COAST GUARD BAND DIRECTOR'S DESIGNATION 33**

**12.A.17. RELEASING RETIRED RECALLED OFFICERS FROM ACTIVE DUTY 33**
12.A.17.a. General 33
12.A.17.b. Release From Active Duty 33
12.A.17.c. Physical Disability 34
12.A.17.d. Grade on Release 34
**12.A.17.e. Involuntary Termination of Retired Recall Orders** 34

**12.A.18. SEPARATING AN OFFICER SERVING IN A FOREIGN COUNTRY 35**

**12.A.19. SEVERANCE AND SEPARATION PAY 35**
12.A.19.a. Discharge Date 35
12.A.19.b. Severance Pay 35
12.A.19.c. Separated for Cause 35

12.A.19.d. Warrant Officers 35
12.A.19.e. Offsetting Deductions 36
12.A.19.f. Reserve Officers 36

**12.A.20. TERMINATING A CHIEF WARRANT OFFICER APPOINTMENT 36**

**12.A.21. SEPARATING CHIEF WARRANT OFFICERS FOR UNFITNESS OR UNSATISFACTORY PERFORMANCE 37**
12.A.21.a. General 37
12.A.21.b. Special Boards 37
12.A.21.c. Chief Warrant Officer Evaluation Boards 37

**12.A.22. REQUESTS TO SEPARATE VOLUNTARILY IN LIEU OF INVOLUNTARY BOARD ACTION 38**

### 12.A.7.c. Officers OCONUS

Members assigned to OUTCONUS units are required to complete a minimum of two years at that unit before Commander (CGPC-opm) will consider them eligible for voluntary release.

### 12.A.7.d. Release of RPAs

Officers whose RPA designation has been removed under Article 1.B.3.i. will be released to inactive duty.

## 12.A.8. Involuntary Release of Reserve Officers

1. At any time, the Commandant may release a Reserve officer involuntarily to inactive duty. Commanding officers or other officers in the chain of command may recommend an involuntary release from active duty of a Reserve officer in their command in the form of a letter to Commander (CGPC-opm) containing the following information:

   a. Officer's name;

   b. Length of service;

   c. Period of time officer was observed;

   d. Reason for recommendation;

   e. Specific facts or circumstances relating to performance;

   f. Medical reports or opinions, if applicable;

   g. Nature of counseling and other steps taken to correct deficiencies, if applicable;

   h. Officer's response to counseling, if applicable;

   i. Special Officer Evaluation Report, if applicable.

2. The recommending officer shall grant the officer concerned an opportunity to review the recommendation and permit him or her to comment as desired by letter endorsement.

3. A panel of senior officers as described in Article 12.A.11.b.3. shall review the recommendation. After thoroughly reviewing the officer's record, the panel recommends to the Commandant either releasing the officer or closing the case.

4. Commander (CGPC-opm) sends the panel's recommendations to the Commandant for approval, modification, or disapproval (14 U.S.C. 281).

## 12.A.9. Discharging Active Duty Reserve Officers

When it is necessary to recommend a Reserve officer serving on active duty for discharge from the U. S. Coast Guard Reserve, the following guidance applies.

1. Reserve officers with fewer than **five** years commissioned service being considered for an honorable discharge for the reasons in Article 12.A.15.c.1. will be processed as outlined in Article 12.A.11.b. Commander, (CGPC-rpm) will serve as a member of the panel of officers established in Article 12.A.11.b.

2. Reserve officers with fewer than **five** years commissioned service being considered for a general discharge for reasons contained in Article 12.A.15.c.2. or 3. will be processed by a single, special board of officers guided by the applicable procedures outlined in Article 12.A.15.h. A Reserve officer shall serve as a member of the board.

3. All Reserve officers with at least **five** years commissioned service being considered for discharge will be processed using the three-board process described in Article 12.A.15. A Reserve officer shall serve as a member of each board if possible.

4. Reserve officers discharged due to board action or at their request in lieu of board action receive an honorable discharge if Article 12.A.15.c.1. applies and a general discharge if Article 12.A.15.c.2. or 3. applies. Determine the amount of separation pay, if entitled, by computing years of service and basic pay as defined in the U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series).

## 12.A.10. Physical Examination

### 12.A.10.a. Terminology

The term “unfit for continued service” is used in this Article rather than “not fit for duty.” “Not fit for duty” is a local medical term meaning the member is unable to perform the immediate duties to which assigned for a short period of time. A finding of “not fit for duty” does not qualify the member for processing in the Physical Disability Evaluation System (PDES), and does not mean the member is not qualified for separation. A member could be “not fit for duty” and still be separated if the existing impairment does not lead to a physical disability as defined in the Physical Disability Evaluation System, 1850.2 (series) unless Commander (CGPC-opm) or (CGPC-epm) with the advice of Commander (CGPC-adm) considers it necessary to correct a physical defect. “Unfit for continued service” means a physical disability exists which renders the member unfit to perform the duties of his or her office, grade, rank, or rating. This determination can be made only through the PDES and could lead to the member’s separation, except as provided in Article 17.A.2.

service unless promoted to the grade of captain of the Regular Coast Guard.

3. With the Commandant's approval, each officer so recommended may continue on active duty for the recommended term, unless retired by some other provision of law. When he or she completes such term, unless selected for promotion or further continuation by a subsequent board, the officer shall be retired on the first day of the first month following the month in which the period of continued service is completed.

### 12.A.13.g. Captains

1. If a board convened under 14 U.S.C. 289 does not recommend a captain for continuation on active duty, he or she shall retire, unless retained by the Commandant, in accordance with Article 12.C.5.

2. Permanent Regular captains may be retained up to and beyond 30 years as described in subparagraph 3. below.

3. If Service needs dictate, the Commandant may by annual action retain on active duty from promotion year to promotion year any permanent Regular duty captain who would otherwise be retired in accordance with Article 12.C.5.

4. Each officer recommended for continuation under subparagraph 2 above, unless retired under some other provision of the law, shall be retired when such term is completed, unless selected for promotion for further continuation on active duty by the Commandant, on 30 June of that promotion year in which no further action is taken to retain the officer.

### 12.A.13.h. Effective Date of Separation

If this Article or Article 12.C.5. would require the discharge or retirement of any officer above the grade of ensign fewer than six months after approval of the report of the board which considered but did not select the officer:

1. For promotion for the second time or continuation, that officer's discharge or retirement shall be deferred until the last day of the sixth calendar month after such approval, or
2. For promotion for the third (or more) time, that officer shall be retired effective the last day of the month in which the officer completes 20 years' active service, unless earlier removed under another provision of law.

## 12.A.14. Dismissing or Dropping from the Rolls

### 12.A.14.a. Limitation on Dismissal

No commissioned officer may be dismissed from any Armed Force except:

1. By sentence of a general court-martial;

2. In commutation of a sentence of a general court-martial; or

3. In time of war, by order of the President.

### 12.A.14.b. Dropping from the Rolls

The President may drop from any Armed Force's rolls any commissioned officer who:

1. Has been absent without authority for at least three months, or

2. Is sentenced to confinement in a federal or state penitentiary or correctional institution after a court other than a court-martial or other military court has found that officer guilty of an offense and whose sentence has become final (10 U.S.C. 1161).

## 12.A.15. Separating Regular Coast Guard Officers for Cause

### 12.A.15.a. Authority

Pursuant to authority contained in 14 U.S.C. 321-327, this Article contains regulations to separate commissioned Regular Coast Guard officers **with greater than five years commissioned service** for cause. While chief warrant officers are not **subject** to **the same** provisions, **all cases involving those officers are processed under Article 12.A.20 or 12.A.21**. **Officers with less than five years commissioned service are processed under Article 12.A.11.**

### 12.A.15.b. Discussion

1. No person has an inherent right to continue to serve as an officer. An officer retains the privilege of service only so long as he or she performs satisfactorily. Responsibility for leadership and example requires an officer to accomplish his or her duty effectively and conduct him or herself properly at all times. Retaining officers substandard in performance of duty or conduct, deficient in character, or otherwise unsuited for military service cannot be justified. There is no place for these individuals in the Coast Guard.

2. Every officer deserves a fair chance to demonstrate his or her capabilities. If an officer shows ineffective tendencies, especially if inexperienced, if possible the Service gives him or her another chance under another

commanding officer. However, commanding officers should systematically record ineffectiveness in documents specific as to the period each covers, the duties observed, and the defects noted. The Service must remove any officer who has been given a fair chance to become an effective officer and has not done so lest others pay with their lives for his or her weakness.

3. A recommendation for separation under this Article cannot be based on empty generalities or vague impressions. It is necessary to establish with exactitude the reasons why an officer is considered ineffective. Basically, this officer is one who does not get acceptable results. Inefficiency is a relative matter, and a specific definition of the ineffective officer cannot be given. Many ineffective officers are decent, well-mannered, educated, honorable, intelligent, generous, and yet ineffective. It is perfectly proper to credit an officer for good qualities in the same letter or evaluation report which reveals ineffectiveness as an officer.

### 12.A.15.c. Causes for Separation

1. The existence of one or more of these or similar conditions may require removing an officer for substandard performance of duty or failure to meet standards prescribed by the Commandant:

   a. Downward trend in overall performance resulting in unacceptable service or a consistent record of substandard service.

   b. Failure to keep pace or progress with contemporaries; e.g. consistent below- average performance when compared to other officers of the same grade and length of service or failure of physician assistants to maintain certification from the National Commission on Certification of Physician Assistants.

   c. Failure to exercise necessary leadership or command expected of an officer of the same grade.

   d. Failure to assimilate the technical proficiency required of his or her grade.

   e. Failure to properly discharge assignments commensurate with his or her grade and experience.

   f. Apathy, a pattern of conduct showing the development of a defective attitude, or other character and behavior disorders including inability or unwillingness to expend effort.

   g. Failure to meet established weight standards.

2. Existence of one or more of these or similar conditions may require removing an officer for moral or professional dereliction:

a. Discreditable intentional failure to meet personal financial obligations.

b. Mismanaging personal affairs detrimentally affecting the officer's performance of duty.

c. Mismanaging personal affairs to the discredit of the Service.

d. Intentionally omitting or misstating facts in official statements or records for the purpose of misrepresentation.

e. Acts of personal misconduct prohibited by military or civilian authorities.

f. Homosexual conduct as defined in Article 12.D.4.

g. Intentional or negligent failure to perform duties or negligence in performing duties.

h. Conduct unbecoming an officer.

i. Involvement in a drug or alcohol incident as defined in Chapter 20.

j. One act of sexual harassment by assault or coercion, or conduct demonstrating an established pattern of sexual harassment by crude or offensive behavior, sexist behavior, and/or unwanted sexual attention. See Article 8.I. and Coast Guard Equal Opportunity Manual, COMDTINST M5350.4 (series) for definitions and guidelines on sexual harassment.

k. Involvement in a prohibited relationship. See Chapter 8.H. for policy guidance.

l. An act, either committed or omitted, or other behavior clearly not consistent with the interests of national security requires removing an officer.

m. An unreasonable refusal to submit to necessary and proper medical or dental treatment considered by competent medical or dental officers to be necessary to render member fit for duty (as determined by a medical board convened in accordance with the provisions of Physical Disability Evaluation System, COMDTINST M1850.2 (series)).

n. A repeated refusal to receive an immunization ordered by competent authority.

3. Any one of these or similar reasons causes serious doubt as to the advisability of permitting the officer concerned to retain a commission and normally prompts a review of his or her overall record. This review will determine if

this derogatory information, when viewed in conjunction with other aspects of his or her record, warrants a recommendation for separation. Standing alone any one of these conditions may not support separation. However, any one of them when combined with other known deficiencies could form a pattern which, when viewed in relation to an officer's overall record, requires separation.

a. Punishment under the Uniform Code of Military Justice, Article 15.

b. Conviction by court-martial or a civil court.

c. Denial of security clearance.

d. Derogatory evaluation report.

e. Failure to be recommended for promotion by a selection board selecting officers for promotion on a fully qualified basis.

f. Failure by a Regular Coast Guard officer of any required course of training, instruction, or indoctrination at a service school.

g. An approved finding of misconduct by a board of investigation.

4. Officers with less than **five** years of commissioned service will normally be processed under Article 12.A.9. or 12.A.11. depending upon their status.

### 12.A.15.d. Relationship of Separation to Discipline

A commanding officer shall not use separation in lieu of disciplinary action under the UCMJ, but if he or she believes the Service's and officer's interests will be served better by separation proceedings rather than disciplinary action, he or she may so refer any charges. The fact a court-martial has occurred shall not prohibit subsequent proceedings under this Article; however, separation proceedings may not be initiated until a prior UCMJ proceeding is complete.

### 12.A.15.e. Initiating Action

Commander (CGPC-opm) shall review an officer's Personal Data Record (PDR) and weigh all facts and circumstances to determine whether an officer should be considered for action under this Article. If Commander (CGPC-opm) decides further processing is warranted, Commander (CGPC-c) will refer the case to a determination board. At any time, an area commander, district commander, maintenance and logistics commander, or unit commanding officer may request Commander (CGPC-opm) to review an officer's PDR to determine whether the officer should be considered for separation.

## 12.A.15.f. Requiring Officers to Show Cause for Retention

1. At any time and place Commander (CGPC) may convene a board of officers to review any Regular Coast Guard officer's record to decide whether the officer should be required to show cause for retention on active duty because:

    a. The officer's performance of duty has declined below the prescribed standards; or

    b. The officer has demonstrated moral or professional dereliction; or

    c. Retention is clearly inconsistent with the interests of national security.

2. A board of officers convened to review an officer's records (a "determination board") shall consist of at least three officers in the grade of commander or above who all are serving in a grade senior to the grade of any officer they consider.

3. The determination board will impartially review the officer's PDR, the initiating officer's recommendation, and all other available information relevant to the reasons for separation to determine whether it should require the officer to show cause for retention.

4. The determination board does not examine witnesses. It is limited to considering the documents presented to it.

5. Commander (CGPC-opm) sends the determination board's findings to Commander (CGPC-c), who will notify the officer concerned the determination board has found either:

    a. The officer should not be required to show cause for retention and the case is closed; or

    b. The officer should be required to show cause for retention.

6. If a determination board decides an officer is required to show cause for retention on active duty, Commander (CGPC-opm) will:

    a. Give the officer a copy of the determination board's findings and all documents pertinent to the case except those the Commandant determines should be withheld in the interest of national security;

    b. Notify the officer in writing of the reasons for which he or she is being required to show cause for retention (notification shall be sent through the officer's commanding officer, who in turn shall state by endorsement the date of delivery to the officer concerned);

c. Notify the officer that Commander (CGPC-c) will convene a board of inquiry to hear the case at least 30 days after the date of notification of the determination board's findings;

d. Inform the officer his or her appearance before a board of inquiry is the only opportunity to appear in person on his or her own behalf before final action in the case;

e. Notify the officer if separated from the Service after action by a board of review or at his or her own request after a determination board's finding he or she is required to show cause for his or her retention on active duty, the officer will receive an honorable discharge if the reason for separation is one contained in Article 12.A.15.c.1. and 5., and a general discharge if the reason is contained in Article 12.A.15.c.2. or 3;

f. Notify the officer of his or her entitlement to severance or separation pay, as applicable;

g. Notify the officer that if retired after action by a board of review or at his or her own request after a determination board's finding, the officer will be subject to evaluation under Article 12.C.15. provisions as to satisfactory service in a temporary grade;

h. Allow the officer reasonable time, at least 30 days, to prepare his or her defense;

i. Allow the officer to appear in person and to be represented by counsel at proceedings before a board of inquiry; and

j. Allow the officer full access to and furnishes copies of records relevant to the case at all stages of the proceedings, except a board shall withhold any records the Commandant determines should be withheld in the interests of national security. If any records are withheld under this clause, the officer whose case is under consideration shall, to the extent national security permits, be given the actual records or copies of them with the classified portions deleted.

7. The officer concerned must acknowledge receipt of the determination board's findings within five days of receipt. The officer returns the receipt to Commander (CGPC-opm-1) through the chain of command.

8. An officer who has been notified a determination board has found he or she should be required to show cause for retention on active duty may apply for voluntary retirement or request early discharge from the Service. If the officer takes neither action, he or she shall be ordered to appear before a board of inquiry.

## 12.A.15.g. Physical Qualifications for Separation

If a determination board notifies an officer he or she must show cause for retention in the Service under Article 12.A.15.f.6., the command concerned shall ensure the officer reports immediately to the nearest medical facility for a standard physical examination as described in the Medical Manual, COMDTINST M6000.1 (series) if the officer has not completed one within the preceding three months. If travel is necessary in connection with the physical examination, the district commander or commanding officer of the Headquarters unit concerned will issue the travel orders. If the officer has a condition which requires him or her to enter the physical disability evaluation system or a serious disease or injury intervenes, Commander (CGPC-opm) and (CGPC-adm) shall be notified expeditiously by message. In these cases, the officer concerned is normally processed concurrently for cause under this Article and in the physical disability evaluation system. A final determination on the officer's status normally will not be made until both processes are completed.

## 12.A.15.h. Board of Inquiry

1. Purpose. The board of inquiry affords officers a fair, impartial hearing at which they have an opportunity to establish their retention in the Coast Guard is warranted. The officers concerned may present evidence to refute matters of record offered against them or otherwise establish they should be retained. The board of inquiry will consider all relevant evidence presented at the hearing and make findings and a recommendation based on a preponderance of evidence.

2. Composition.

   a. The board of inquiry shall consist of at least three officers, but in any case an odd number, commanders or above, all of whom are senior to the grade of any officer the board is considering. No officer shall sit as a member of a board of inquiry if he or she:

      (1) Is a witness in the case before the board;

      (2) Was a member of the determination board in the case under consideration (this provision does not apply to Reserve officers because their cases are referred directly to a special board of officers);

      (3) Appeared as a witness before or was a member of any previous determination board, special board, board of inquiry, or board of review which considered the officer for separation;

      (4) Initiated, investigated, was a member of, or was the reviewing authority in a court-martial before which the officer concerned was the accused;

(5) Previously recommended or participated in a recommendation for the officer's demotion, removal, or relief from active duty; or

(6) Previously was a reporting officer on any performance evaluations the board will view.

b. The board of inquiry will be assigned both a non-voting recorder and a non- voting legal advisor. The legal advisor shall meet the qualifications of Article 27(b), UCMJ, and if feasible also UCMJ Article 26(b) qualifications.

3. Instructions. After the board of inquiry convenes the legal adviser will instruct it as to its purpose. These instructions will be transcribed verbatim in the board's proceedings. The instruction will include, but need not be limited to, the following items:

a. By its action, the board establishes the minimum level of performance of duty or integrity acceptable of Coast Guard officers.

b. The board of inquiry is an administrative board not subject to the rules and procedures governing court or court-martial action. It does not judge the determination board's action.

c. As a result of the determination board's findings, the officer must show cause for retention on active duty. At the board of inquiry, the officer concerned has the opportunity to present evidence to refute matters of record offered against him or her or otherwise establish the Service should retain him or her. (Although not processed by a determination board, Reserve officers may provide evidence to refute matters of record offered against them or otherwise establish they should be retained. These same standards apply to chief warrant officers being considered for separation under Article 12.A.21.).

d. If the board determines it needs additional information to evaluate the case properly, it may request the information through the convening authority.

e. The board receives evidence presented during the board proceedings.

f. The board evaluates all evidence and information it receives or develops on the matter it is considering in the hearing and arrives at a clear, logical finding consistent with the information and evidence presented.

g. On the basis of its findings the board determines whether the Coast Guard should or should not retain the respondent.

h. The board makes appropriate recommendations consistent with its determination.

i. While the board considers old reports and records in establishing a pattern of substandard conduct or misconduct, an officer's instances of good performance or conduct in the remote past cannot negate a record of progressively deteriorating performance of duty or conduct.

j. An officer cannot offset allegations involving a defect in character or integrity by a rebuttal which attempts to emphasize other qualities in his or her favor.

k. The board may consider these additional items to assist it in evaluating material submitted to it:

(1) A record of recently improved performance may result from an unusual effort on the officer's part after learning he or she was recommended for separation for cause. By itself it does not overcome a pattern of ineffectiveness. The board may consider improved performance together with other evidence in the record to determine whether the officer has overcome the pattern.

(2) Promotion or selection for promotion, while proper evidence on the officer's behalf, does not necessarily justify his or her retention.

(3) Where poor performance is involved, it is essential for the board to examine the entire performance file in detail. In doing so, the board should consider these aspects.

(a) The length of time each report covers.

(b) The duty the officer performed and the level at which performed.

(c) The trend in performance—up or down—as the officer gained experience.

(4) Copies of all performance evaluations made available to the board will be made available to the officer concerned and vice versa. An officer's claim he or she was not aware of unfavorable remarks contained in such reports is not grounds for the board not to consider them.

(5) The officer concerned often solicits letters of commendation or appreciation or letters stating the officer's value to the Service. In some cases, these letters may be the only kind of evidence an officer is able to offer in refuting an accusation. The board must evaluate the circumstances under which these letters are solicited in determining what weight it should give them. In so determining, it is proper for the board to consider the letter of solicitation if one exists, the period during which the writer knew or was closely acquainted with the officer, the writer's familiarity with the officer's habits and reputation,

and the relationship between the writer and the officer, if any.

(6) The board may use punishment by court-martial or Article 15, UCMJ, for misconduct to support removal under these regulations.

4. Rights of Officer Concerned. The legal advisor shall explain to the officer concerned he or she has the following rights:

a. The officer may present evidence, represent him or herself, or be represented by military counsel qualified under Article 27 (b), UCMJ, or civilian counsel of his or her own choice in all open board of inquiry proceedings; the officer must pay expenses incident to retaining civilian counsel.

b. At any time before the Commandant's final decision, the officer may apply for voluntary retirement, if eligible, or request early discharge under Article 12.A.15.f. or 14 U.S.C. 327, as applicable.

c. The officer may challenge for cause any voting member of the board.

d. The officer may request any witness whose testimony is pertinent to the case to appear as a witness before a board of inquiry hearing. The recorder of the board will invite those witnesses who meet Article 12.A.15.h.5.(j) requirements to appear.

e. The officer's counsel may question any witness brought before the board.

f. The officer is entitled to his or her rights under Article 31, UCMJ, and may or may not submit to examination by the board of inquiry.

(1) If he or she desires to submit to examination or make a statement under oath, he or she will be sworn.

(2) If he or she does not desire to make a sworn statement, the officer or the officer's counsel may make an unsworn statement, orally, in writing, or both. If the officer concerned makes an unsworn statement, he or she will not be subject to the board's cross-examination.

g. The officer will be allowed full access to and furnished copies of records relevant to the case at all stages of the proceedings. However, the board shall withhold any records the Commandant determines should be withheld in the interest of national security. If a board withholds any records under this clause, the officer whose case is under consideration shall be furnished a summary of the records so withheld. Additionally, the officer will be furnished, to the extent the national security permits, the actual records or copies of them with the classified portions deleted.

h. The officer has the right to know how his or her officer evaluation reports

or other reports on performance of duty reflect his or her past performance.

i. The officer or the officer's counsel may make a closing argument at the conclusion of presentation of evidence.

j. The officer is entitled to receive a copy of the verbatim transcript of proceedings.

5. Procedure.

a. A board of inquiry does not follow strict rules of evidence in its proceedings. The board should allow the officer concerned to present his or her case without undue interference; however, the officer should observe reasonable bounds of relevance. Decisions on the validity of these regulations and the constitutionality of the statutes authorizing this procedure are outside the board's responsibilities, and the board should not permit argument on these matters. The assigned legal adviser decides questions on the procedures prescribed by these regulations.

b. Voting members of the board will not review the case before the hearing.

c. The board will not allow spectators to be present during the proceedings, except those the officer concerned specifically requested in writing and the board president authorized. No one scheduled to be called as a witness or who has been a witness may be present as a spectator.

d. A board of inquiry may call witnesses on its own motion.

e. Witnesses appearing before the board shall testify under oath or affirmation.

f. The board's assigned legal advisor may not present the case or cross-examine witnesses. The legal advisor is present at all open sessions, instructs the board and respondent as appropriate, rules on all questions of evidence and procedure, and may excuse a member on challenge for cause.

g. The president may seek the legal advisor's guidance whenever necessary, but the legal advisor will advise the board in open session in the presence of the officer concerned and his or her counsel and these proceedings become a part of the record. However, after the board has announced its recommendations in open session, it may request the legal advisor to attend its closed session to assist in the final drafting of the findings and recommendations.

h. A majority vote by secret written ballot shall decide any issue properly before the board for determination.

i. The board shall keep a verbatim record of its proceedings in open session.

j. On the board's behalf the recorder invites both the officer's and the Government's witnesses to appear if both are reasonably available and their testimony can contribute materially to the case. The procedures and policies in Rule 703, Rules for Courts-Martial, MCM, 1984, will be used as a general guide in determining what witnesses will be invited to appear. Article 49, UCMJ, will be used as a general guide in determining witnesses' availability. Using depositions or affidavits to obtain testimony of witnesses who are not reasonably available and of stipulations, when appropriate, is encouraged.

(1) If their superior determines Service requirements will not permit their appearance, the supervisor may prohibit Coast Guard members or civilian employees whose presence is requested as witnesses from appearing before the board, which then will use depositions or affidavits.

(2) Witnesses will travel by official military transportation when practical. If official military transportation is not available, witnesses may use commercial. The Government pays a civilian witness's fees and mileage under the Military Justice Manual, COMDTINST M5810.1 (series).

k. Recorder's Responsibilities.

(1) When the board of inquiry is convened, the board's recorder will examine and become familiar with all aspects of the case.

(2) The recorder determines if further investigation or additional documents are necessary to evaluate the case properly. If the recorder determines additional information is needed, he or she should request it as soon as possible.

(3) The recorder obtains factual information about requested and prospective witnesses' availability and then determines under Article 12.A.15.h.5.j. above which requested witnesses he or she will invite to appear on both the officer's and Government's behalf.

(4) The recorder ensures any travel orders necessary in accordance with Article 12.A.15.h.5.j. are issued promptly.

(5) The recorder notifies the board members in person or in writing of the time and place set for the hearing. He or she notifies the officer concerned by letter of the time and place set for the hearing and furnishes a copy to the officer's commanding officer.

(6) The recorder furnishes the officer concerned a copy of any records or other documentary material the board of inquiry will consider.

(7) The recorder makes other necessary preparations for the orderly

progress of the case at the board hearing.

(8) The recorder ensures that a transcript of the hearing is prepared.

(9) The recorder also ensures the board has available a copy of these regulations.

(10) The recorder presents any material considered relevant to assist the board in reaching its finding.

(11) The recorder may cross-examine any witnesses called by the respondent.

(12) The recorder may present an opening statement and a final argument for the board's consideration.

6. Deliberations.

a. A board of inquiry must carefully consider the facts of each case and be specific with respect to the underlying facts which support its findings and recommendations. The president of the board must ensure board members are completely familiar with the facts developed in each case, as well as the purpose of the board of inquiry.

b. Before the board determines its findings and recommendations, it should review the purpose for which it was constituted, its guidance, and the evidence present before it in considering the following:

(1) The determination board found the officer concerned should be required to show cause. (Not applicable for Reserve officers with fewer than three years' service or for any chief warrant officer.)

(2) The purpose of the board of inquiry is to afford the officer concerned an opportunity to present evidence to refute matters of record offered against him or her or to otherwise establish the Service should retain him or her.

(3) The officer concerned must refute the Government's evidence and present evidence affirming his or her contention he or she is qualified to retain his or her current status.

(4) The board must consider an officer's record as a whole and make its recommendation based on a preponderance of evidence. Refuting any single reason for removal does not necessarily refute other documented reasons the board considers.

7. Findings and Recommendations.

a. The board determines its findings and recommendation by secret written ballot in closed session.

b. The board prepares a brief statement of the reason(s) (including factual data if necessary for clarification) for its findings.

c. After the board determines the findings, it makes an appropriate recommendation, limited to either retention or separation without qualifications.

d. A board of inquiry cannot concurrently recommend any proposal short of separation once it has concluded an officer should be separated for cause.

e. Final Action for Reserve and Chief Warrant Officer Proceedings. For Reserve officers processed for separation under Article 12.A.9. and chief warrant officers processed under Article 12.A.21.c., the president of the board shall advise the officer in open session of its recommendation and all applicable procedural matters listed as follows:

(1) If the special board finds the officer should be retained, the case shall be closed.

(2) If the special board recommends separation, its recommendation shall be sent to the Commandant who has final decision authority. The officer shall be furnished a copy of the verbatim record of the special board proceedings. Within 10 days after receiving or having access to a copy of the record of the special board proceedings, the officer or his or her counsel may submit a responsive rebuttal, limited to matters brought before the special board, to Commander (CGPC-opm-1).

(3) A summary of the board proceedings shall be sent to the Commandant.

8. Final Action for Regular Officers. In open session the president of the board advises the officer of its determination and all applicable procedural matters listed as follows:

a. When a board of inquiry determines the Service should retain the officer:

(1) The case shall be closed.

(2) A summary of the board's proceedings shall be sent to Commander (CGPC-c).

(3) Commander (CGPC-c) notifies the officer in writing through the chain of command.

b. When a board of inquiry determines the officer should be separated:

(1) Commander (CGPC-c) notifies the officer in writing through the chain of command.

(2) A board of review will consider the case as described in Article 12.A.15.i.

(3) Within 10 days after he or she receives or has access to a copy of the record of the board of inquiry proceedings, the officer or his or her counsel may file with the president of the board of review (c/o CGPC-opm-1) a rebuttal to the board of inquiry's findings and recommendations. If the officer files such a statement, he or she shall file a copy with the recorder to the board of inquiry, who in turn has 10 days in which to file a rebuttal to the statement of rebuttal and send to the officer concerned.

c. A verbatim record of the board of inquiry proceedings shall be sent to Commander (CGPC-c) with a statement that the officer concerned was also furnished a copy.

## 12.A.15.i. Board of Review

1. On receiving the proceedings record of the board of inquiry which recommends separating an officer for cause, Commander (CGPC-c) convenes a board of review.

2. The board of review consists of three officers senior to the members of the board of inquiry which considered the case. An officer may not be a member of the final review board if he or she was a member of the determination board or board of inquiry which considered the case or is ineligible to be a member of the board of inquiry for any reason listed in Article 12.A.15.h.2.

3. The board of review reviews the records and documented evidence the board of inquiry considered and made a part of its proceedings and any additional information the officer concerned or the recorder submitted under Article 12.A.15.h.8., to determine whether the officer concerned has or has not established he or she should be retained in the Coast Guard.

4. The officer concerned will not appear before the board of review, nor will counsel represent him or her.

5. After reviewing the case, the board of review determines without qualification whether to retain or separate the officer.

6. The officer is notified of the review board's findings and determination in writing through the chain of command.

7. If the board of review determines to retain the officer, the case is closed and Commander (CGPC-c) so advises the officer in writing through the chain of command.

8. If the board of review determines to separate the officer, the board of review proceedings and its recommendation shall be sent to the Commandant who has final decision authority.

9. If the Commandant concurs with the board of review recommendation, the officer shall be separated. If the Commandant finds the officer should be retained, the case shall be closed. In either decision, Commander (CGPC-c) so advises the officer in writing through the chain of command of the final action taken in the case.

### 12.A.15.j. Separation Date

An officer removed from active duty under these proceedings who does not request voluntary retirement before the specified separation date separates as specified in 14 U.S.C. 327(b) on the first day of the second month after that in which the Commandant approves the recommendation of the board of review. For example, if the Commandant approves the recommendation on 15 May, the officer shall be separated on 01 July.

## 12.A.16. Revoking the Coast Guard Band Director's Designation

The Secretary may revoke any designation as Director of the Coast Guard Band. If the Secretary does so, the member's appointment to commissioned grade under Article 1.A.6. terminates and the member has the following options.

1. Discharge from the Coast Guard; or
2. Reverting to the grade and status held when designated Director (14 U.S.C. 336).

## 12.A.17. Releasing Retired Recalled Officers from Active Duty

### 12.A.17.a. General

A retired officer recalled to active duty retains his or her retired status whether temporarily or permanently retired or transferred from the Temporary Disability Retired List (TDRL) to the Permanent Retired List while on active duty.

### 12.A.17.b. Release From Active Duty

On completing the term of service for which recalled, the Service either continues the retired officer for a further period of service or releases him or her from active duty; the released officer is entitled to recompute retired pay for years of service under 10 U.S.C. 1402.

### 12.A.17.c. Physical Disability

1. If an officer permanently retired for other than physical disability is recalled to active duty and while on active duty is found to have a physical disability of more than 30 percent, the officer remains on the Permanent Retired List and is entitled to recompute retired pay under 10 U.S.C. 1402 on release from active duty.
2. An officer on the Temporary Disability Retired List or retired permanently for physical disability who is recalled to active duty and found to have a physical disability in addition to or that aggravates the physical disability for which he or she retired is entitled to recompute retired pay under 10 U.S.C. 1402 on release from active duty.

### 12.A.17.d. Grade on Release

Since an officer can retire only once, the officer is released from active duty. The provisions of Article 12.C.15.f. do not apply. When released from active duty the retired officer is entitled to the grade in which he or she retired, to which certified on retirement or any higher grade to which promoted after recall to active duty.

### 12.A.17.e. Involuntary Termination of Retired Recall Orders

**1. At any time, CGPC-opm may release an officer serving on retired recall. Commanding Officers or other officers in the chain of command may recommend an involuntary termination of retired recall orders for members in their command by sending a letter to Commander (CGPC-opm) containing the following information:**

**a. Officer's name;**

**b. Length of service;**

**c. Period of time officer was observed;**

**d. Reason for recommendation;**

**e. Specific facts or circumstances relating to performance;**

**f. Medical reports or opinions, if applicable;**

**g. Nature of counseling and other steps taken to correct deficiencies, if applicable;**

**h. Officer's response to counseling, if applicable;**

**i. Special Officer Evaluation Report, if applicable.**

**2. The recommending officer shall grant the officer concerned an**

**opportunity to review the recommendation and permit him or her to comment as desired by letter endorsement.**

## 12.A.18. Separating an Officer Serving in a Foreign Country

Article 12.B.46.a. applies to officers. Address requests to Commander (CGPC-opm-1).

## 12.A.19. Severance and Separation Pay

### 12.A.19.a. Discharge Date

At his or her request and with the Secretary's approval, the Service may honorably discharge a Regular commissioned officer (except a commissioned warrant officer) retained on active duty under Articles 12.A.13.d. or f. and a commissioned warrant officer retained under Article 5.B.4. at any time before the otherwise specified retirement or discharge date.

### 12.A.19.b. Severance Pay

1. Each Regular lieutenant (junior grade), lieutenant, lieutenant commander, or commander involuntarily honorably discharged under Article 12.A.13. is entitled to a lump sum payment. The officer must elect severance pay and be discharged from active duty before becoming retirement eligible (14 U.S.C. 286).

2. The U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series), contains computations for severance and separation pay.

### 12.A.19.c. Separated for Cause

A regular Coast Guard officer separated for cause under article 12.A.15.c.1. and not eligible for retirement is entitled to severance pay. A regular Coast Guard officer separated for cause with a general discharge under Article 12.A.15.c.2. for moral or professional dereliction and not eligible for retirement, is not entitled to severance pay.

### 12.A.19.d. Warrant Officers

A commissioned warrant officer separated under Articles 5.B.4.c., i.e., twice failing of selection, or discharged under Article 12.A.21. for reasons specified in Article 12.A.15.c.1. and not eligible for retirement is entitled to severance pay. A commissioned warrant officer separated for unfitness or unsuitability under Article 12.A.21. for reasons specified in Article 12.A.15.c.2., i.e., removal for moral or professional dereliction, and not eligible for retirement is not eligible for severance pay.

### 12.A.19.e. Offsetting Deductions

Accepting a lump sum payment under this article does not deprive a person of any United States retirement benefits. However, an amount equal to the lump sum

payment (14 U.S.C. 286 for Regular officers and 10 U.S.C. 1174 for Reserve officers) shall be deducted from the former member's retirement payments. Any member in receipt of separation or severance pay and who subsequently becomes entitled to retired pay will have their retired pay withheld until the former separation/severance pay recouped.

### 12.A.19.f. Reserve Officers

Unless the Secretary determines that the conditions under which a member was separated or discharged do not warrant such pay, a Reserve officer serving as a Reserve Program Administrator (RPA) or on extended active duty (EAD) discharged or released from active duty who has completed six or more consecutive, but fewer than 20 years' active service immediately before that discharge or release is entitled to separation pay computed under the regulations below as determined by the Commandant if the discharge or release from active duty is involuntary or the member was not accepted for an additional tour of active duty for which he or she volunteered.

1. Reserve officers involuntarily discharged, separated, or released from active duty are entitled to separation pay calculated under Section 10-J.4a.(1), U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series).

2. Reserve officers discharged or released from active duty for the causes specified in Article 12.A.15.c.1., 2., or 3. are entitled to separation pay calculated under Section 10-J-4a.(2), U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series).

## 12.A.20. Terminating a Chief Warrant Officer Appointment

The Secretary may terminate the appointment of a chief warrant officer of the Regular Coast Guard at any time within three years after the date he or she accepted the original appointment as a chief warrant officer. A chief warrant officer whose appointment is terminated under this Article is not entitled to severance pay but may apply to the Commandant to reenlist (10 U.S.C. 1165). If approved, he or she reenlists in a grade the Commandant directs but not in one lower than the rate he or she held immediately before appointment as a chief warrant officer (10 U.S.C. 515). The procedures described in Article 12.A.11.b. apply.

## 12.A.21. Separating Chief Warrant Officers for Unfitness or Unsatisfactory Performance

### 12.A.21.a. General

The responsibility placed on chief warrant officers requires them to accomplish assigned duties effectively and adhere to proper standards of conduct at all times. Retaining chief warrant officers substandard in performance of duty or conduct, deficient in character, or otherwise unsuited for military service cannot be justified. The causes for separation listed in Article 12.A.15.c. apply.

### 12.A.21.b. Special Boards

Commander (CGPC-c) may submit to a board of at least three Coast Guard officers whose permanent grade is commander or above the names, records, and reports of warrant officers who have been commissioned warrant officers for at least three years. From among the names so furnished, the board shall determine any officer whose reports and records establish, in the board's opinion, unfitness or unsatisfactory performance of duty or the officer's unsuitability for promotion. A finding of not qualified for promotion is appropriate only in cases involving an officer previously selected for promotion and being evaluated under Article 5.B.5.a.

### 12.A.21.c. Chief Warrant Officer Evaluation Boards

1. If a board convened under Article 12.A.21.b. finds a chief warrant officer unfit or unsatisfactory in performing duty, the officer shall be referred to an evaluation board convened by the Commander (CGPC-c). The board shall be composed of at least three Coast Guard officers whose permanent grade is commander or above.

2. A chief warrant officer whom an evaluation board convened under 1. above is considering does not appear before the board. However, the officer shall be advised of the reasons for the board and given at least 30 days to submit material on his or her own behalf.

3. If the evaluation board recommends that the officer should be retained, the case shall be closed. If the evaluation board recommends separation, the board's report shall be sent to the Commandant who has final decision authority. The officer will be notified of the Commandant's decision in writing through the chain of command.

4. In accordance with 10 U.S.C. 1166 a warrant officer whom the Commandant finds unfit or unsatisfactory following an evaluation board retires or separates on the first day of the month following 60 days after the Commandant acts on the board's recommendation as follows:

a. If eligible for retirement under any provision of law, the officer shall be retired under that law.

b. If the chief warrant officer is not eligible for retirement under any provision of law but has accrued at least three years of active service creditable under Section 511 of the Career Compensation Act of 1949, as amended, since the date he or she accepted the original appointment as a regular chief warrant officer, the officer shall separate with severance pay under 14 U.S.C. 286a, unless the separation was for reasons listed in Article 12.A.15.c.2. and the officer received a general discharge. However, officers entitled to severance pay may refuse it and instead request to enlist in a grade the Commandant prescribes under 10 U.S.C. 515.

c. A chief warrant officer with fewer than three years of such service shall be separated under 10 U.S.C. 1165 without severance pay. However, he or she may request and, if the Commandant approves, enlist under 10 U.S.C. 515 in a grade the Commandant prescribes.

5. If the Commandant does not find a chief warrant officer unfit or unsatisfactory following an evaluation board, the case shall be closed.

## 12.A.22. Requests to Separate Voluntarily in Lieu of Involuntary Board Action

**Officers who are undergoing the processes outlined in 12.A.11, 12.A.12, 12.A.15, or 12.A.A21 may have the opportunity to request retirement or discharge in lieu of completing these processes. If this is permitted, the officer will receive the same category of Separations Program Designator code on their DD-214s that they would receive if the board process went to completion with a decision to separate. They will also receive the same period of time to separate as they would receive if the board process went to completion. If no timelines is specified, the individual shall have no more than 90 days from the date the voluntary separation request is approved to separate.**

*12.B. SEPARATING ACTIVE DUTY ENLISTED MEMBERS 1*

**12.B.1. GENERAL 1**
12.B.1.a. Discharge Authority 1
12.B.1.b. Scope 1
12.B.1.c. Unqualified for Retention 2
12.B.1.d. Retention or Separation 2
12.B.1.e. Cases Involving Concurrent Disability Evaluation and Disciplinary Action 2
12.B.1.f. Definitions 3

**12.B.2. DETERMINING THE TYPE OF DISCHARGE 4**
12.B.2.a. Policy 4
12.B.2.b. Procedure 4
12.B.2.c. Types of Discharge 4
12.B.2.d. Reasons for Discharge 5
12.B.2.e. Characterization of Service 6
12.B.2.f. Standards for Discharge 6
12.B.2.g. Reenlistment Codes 9

**12.B.3. EXPLAINING DISCHARGE TYPES AND RELATED MATTERS 9**

**12.B.4. PRE-DISCHARGE INTERVIEW OF ENLISTED MEMBERS 9**
12.B.4.a. General 9
12.B.4.b. Initial Interview 10
12.B.4.c. Follow-Up Interviews 11
12.B.4.d. Personnel Data Record Entries 12

**12.B.5. PROCESSING PROCEDURES FOR PERSONNEL INELIGIBLE TO REENLIST 12**
12.B.5.a. Scope 12
12.B.5.b. Fewer than Eight Years' Service 12
12.B.5.c. More than Eight Years' Service 13
12.B.5.d. Appellant Procedures 14
12.B.5.e. Documentation 14
12.B.5.f. Probation Extension 14
12.B.5.g. Deadlines 15
12.B.5.h. Pending Notice 15
12.b.5.i. Coast Guard Personnel Command's Final Action 16

**12.B.6. PHYSICAL EXAMINATION BEFORE SEPARATION 16**
12.B.6.a. Applicability 16
12.B.6.b. Physically Qualified for Separation 16
12.B.6.c. Objections to Findings 16
12.B.6.d. Disqualifying Conditions 17

**12.B.7. ENLISTED MEMBERS' EARLY SEPARATION 17**
12.B.7.a. General 17
12.B.7.b. Early Separation 17
12.B.7.c. Early Separation Procedures 18
12.B.7.d. Voluntary Separation Procedures for Members Serving on an Indefinite Reenlistment Contract 20
12.B.7.e. Scheduling Voluntary Separations 21

**12.B.8. RELEASING ENLISTED MEMBERS EARLY TO PURSUE THEIR EDUCATION 21**
12.B.8.a General 21
12.B.8.b. Procedures 22
12.B.8.c. Recouping Reenlistment Bonus 21

**12.B.9. PROCESSING UNSATISFACTORY PERFORMERS 22**
12.B.9.a. Policy 22
12.B.9.b. Scope 23
12.B.9.c. Separation Criteria 23

12.B.9.d. Procedures to Notify Unsatisfactory Performers 23
12.B.9.e. Discharge Processing 24
12.B.9.f. Surrender of Uniform 26
**12.B.10. TRANSFERS AT TIME OF SAILING 26**
**12.B.11. EXPIRATION OF ENLISTMENT 27**
12.B.11.a. General 27
12.B.11.b. Making up Lost Time 27
12.B.11.c. Extending Enlistment in Time of War or National Emergency 27
12.B.11.d. Cutter at Sea 27
12.B.11.e. Attached to Shore Station Outside CONUS 28
12.B.11.f. Undergoing Medical Treatment or Hospitalization 29
12.B.11.g. Serving as Temporary Commissioned Officer 30
12.B.11.h. Awaiting or Undergoing Court-Martial Trial and Punishment 30
12.B.11.i. Retention When Essential to Public Interest 31
12.B.11.j. Awaiting Final Reviewing Authority Action 31
12.B.11.k. Transfer to the Reserve in Lieu of Discharge 31
12.B.11.l. Type of Discharge 32
12.b.11.m. Surrender of Uniform 32
**12.B.12. CONVENIENCE OF THE GOVERNMENT 32**
12.B.12.a. Reasons for Discharge 32
12.B.12.b. Commanding Officers' Authority 34
12.B.12.c. Character of Discharge 34
12.B.12.d. Member's Right to Attorney 34
12.B.12.e. Transfer in Lieu of Discharge 34
12.B.12.f. Discharge for Other Reasons 34
12.B.12.g. Surrendering Uniform 34
**12.B.13. VACANT 35**
**12.B.14. DISCHARGE FOR MINORITY (UNDER AGE) 35**
12.B.14.a. Authorization 35
12.B.14.b. Definition 35
12.B.14.c. Commanding Officer's Action 35
12.B.14.d. Discharge Location 35
12.B.14.e. Minimum Enlistment Age 35
12.B.14.f. Policies 36
12.b.14.g. Fraudulent Enlistment 36
12.B.14.h. Service Obligation 36
12.B.14.i. Character of Discharge 36
12.B.14.j. Opportunity for Counsel 36
12.B.14.k. Reenlistment 37
12.B.14.l. Notifying Next of Kin 37
12.B.14.m. Surrender of Uniform 37
**12.B.15. DISABILITY 37**
12.B.15.a. Medical Board 37
12.B.15.b. Discharge for Physical Disability 37
12.B.15.c. Discharging Recruits 39
12.B.15.d. Discharge Site 39
12.B.15.e. Character of Discharge 39
12.B.15.f. Opportunity for Counsel 39
12.B.15.g. Confidentiality 40
12.b.15.h. Claim for Compensation 40
12.B.15.i. Applying for Benefits 40
12.B.15.j. Surrender of Uniform 40
**12.B.16. UNSUITABILITY 40**

12.B.16.a. By Commandant's Direction 40
12.B.16.b. Causes for Discharge for Unsuitability 41
12.B.16.c. Probation 41
12.B.16.d. Member's Rights 41
12.B.16.e. Discharging Recruits 42
12.B.16.f. Notification 42
12.B.16.g. Site of Discharge 42
12.B.16.h. Physical Examination 43
12.B.16.i. More Than Eight Years' Service 43
12.B.16.j. Documentation 43
12.B.16.k. Submitting by Message 44
12.B.16.l. Surrender of Uniform 45

**12.B.17. SECURITY 45**

**12.B.18. MISCONDUCT 45**
12.B.18.a. Policy 45
12.B.18.b. Reasons to Discharge for Misconduct 46
12.B.18.c. Probation 48
12.B.18.d. Discharging Members with More than Eight Years' Service for Misconduct 48
12.B.18.e. Discharging Members with Fewer than 8 Years' Service for Misconduct 48
12.B.18.f. Surrender of Uniform 50

**12.B.19. DISCHARGE ADJUDGED BY COURT-MARTIAL SENTENCE 50**
12.B.19.a. Definition 50
12.B.19.b. Commandant's Policy 50
12.B.19.c. Commandant's Approval 50
12.B.19.d. Transfers 51
12.B.19.e. Vacating a Suspended Sentence 51
12.B.19.f. Character of Discharge 51
12.B.19.g. Surrender of Uniform 51

**12.B.20. UNCHARACTERIZED DISCHARGES 51**
12.B.20.a. Definition 51
12.B.20.b. Authority 52
12.B.20.c. Discharge Certificate 52
12.b.20.d. Characterized vs. Uncharacterized Service 52
12.B.20.e. Counseling 52
12.B.20.f. Administrative Discharge Board 52
12.B.20.g. Separation Program Designator 52

**12.B.21. DISCHARGE FOR THE GOOD OF THE SERVICE 53**
12.B.21.a. Request for Discharge 53
12.B.21.b. Legal Counsel 54
12.B.21.c. Request Format 54
12.B.21.d. Processing the Request 55
12.B.21.e. Coast Guard Personnel Command's Review 55
12.B.21.f. Surrender of Uniform 56

**12.B.22. CANCELING VOID ENLISTMENTS 56**
12.B.22.a. Policy 56
12.B.22.b. Definition 56
12.B.22.c. Processing After Enlistment Irregularities 56
12.B.22.d. Disposition Before Trial 57
12.B.22.e. Other Void Enlistments 57
12.B.22.f. Separating Due to Void Enlistment 58
12.b.22.g. Transportation 59

**12.B.23. THROUGH 12.B.30. VACANT 59**

**12.B.31. ADMINISTRATIVE DISCHARGE BOARD AND FINAL ACTION OF DISCHARGE AUTHORITY 59**
12.B.31.a. Definition 59
12.B.31.b. Composition 59
12.B.31.c. Double Jeopardy 59
12.B.31.d. Discharge Authority 59
12.B.31.e. Options of Discharge Authority 60
12.B.31.f. Limits to Board Findings 61
**12.B.32. PROCEDURE FOR DISCHARGE UNDER OTHER THAN HONORABLE CONDITIONS 61**
12.B.32.a. Right to Counsel 61
12.B.32.b. Discharge Procedure 62
12.B.32.c. Commanding Officer's Brief 63
12.B.32.d. Convening an Administrative Discharge Board 64
12.B.32.e. Board Action 64
12.B.32.f. Commandant's Final Action 64
12.B.32.g. Waiver or Forfeiture of Administrative Separation Board 64
**12.B.33. VACANT 65**
**12.B.34. SUSPENDING EXECUTION OF APPROVED DISCHARGE ON PROBATION 65**
12.B.34.a. Policy 65
12.B.34.b. Commander, Coast Guard Personnel Command's Actions 65
12.B.34.c. Commandant's Authority 65
**12.B.35. THROUGH 12.B.40. VACANT 66**
**12.B.41. PROCEDURES TO EFFECT TRANSFER TO FULFILL SERVICE OBLIGATION 66**
12.B.41.a. Definition 66
12.B.41.b. Transfer Procedures 66
**12.B.42. RELEASING RESERVE AND RETIRED ENLISTED MEMBERS FROM ACTIVE DUTY DURING WAR OR NATIONAL EMERGENCY 67**
**12.B.43. EFFECTIVE TIME OF SEPARATION 67**
12.B.43.a. Effective Time of Discharge 67
12.B.43.b. Effective Time of Release 67
12.B.43.c. Reservist's Effective Time of Release 67
12.B.43.d. Injury While Traveling 68
**12.B.44. VACANT 68**
**12.B.45. TRANSFER FOR DISCHARGE UNDER OTHER THAN HONORABLE CONDITIONS 68**
12.B.45.a. Members Serving Abroad 68
12.B.45.b. Informing District Commander 68
12.B.45.c. Transportation 68
**12.B.46. SEPARATION UNDER HONORABLE CONDITIONS 69**
12.B.46.a. Separation from Duty Station 69
12.B.46.b. Pre-Separation Activities 70
12.B.46.c. Place of Separation 70
**12.B.47. SEPARATING ALIENS 71**
12.B.47.a. Notifications 71
12.B.47.b. Philippine Citizens 71
12.B.47.c. Member's Acknowledgment 72
**12.B.48. DETERMINING FINAL AVERAGE MARKS 72**
12.B.48.a. Member Evaluated on Only One Form During Enlistment 72
12.B.48.b. Member Evaluated on More than One Form During Enlistment 73
12.B.48.c. Supplemental Conduct Mark 74

**12.B.49. PERSONNEL DATA RECORD ENTRIES AT DEPARTURE 74**
12.B.49.a. Correcting Entries 74
12.B.49.b. Administrative Remarks 75
12.B.49.c. Personnel Data Record Disposal 76
12.B.49.d. Discharge and Reenlistment 76
12.B.49.e. Additional Documents 76
12.B.49.f. Health Record Disposal 76
**12.B.50. CERTIFICATE OF RELEASE OR DISCHARGE FROM ACTIVE DUTY, DD-214 76**
**12.B.51. DISCHARGE CERTIFICATES 76**
12.B.51.a. Qualified Recipients 76
12.B.51.b. Certificate's Reverse Side 76
12.B.51.c. Replacing Certificates 77
12.B.51.d. Delegating Responsibility 77
**12.B.52. HONORABLE DISCHARGE BUTTON 77**
12.B.52.a. Qualified Wearers 77
12.B.52.b. Administrative Remarks 77
12.B.52.c. Delegating Responsibility 77
12.B.52.d. Obtaining Supplies 77
**12.B.53. GENERAL INFORMATION ON SEPARATION WITHOUT IMMEDIATE RE-ENLISTMENT 78**
12.B.53.a. Policy 78
12.B.53.b. Monitoring 78
12.B.53.c. Leave in Connection with Separation 78
12.B.53.d. Reenlistment Information 78
12.B.53.e. Uniforms and Civilian Clothing 79
12.B.53.f. Veterans Rights and Benefits 79
12.B.53.g. Medical Benefits 80
12.B.53.h. Discharge Review Board and Board to Correct Military Records 80
12.B.53.i. Selective Service Registration 81
12.B.53.j. Transporting Household Goods 81
**12.B.54 DISCHARGE ENTITLEMENTS SUMMARY 82**

Military Justice Manual, COMDTINST M5810.1 (series). Refer to the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

2. Request instructions from the Commandant sufficiently in advance to permit receiving a reply by the normal eligible date for separation if:

   a. The supervisory authority has not completed final action, or

   b. A probationary term would extend beyond normal enlistment expiration, or

   c. The member has not served out an approved sentence involving forfeiture of pay, deprivation of liberty, or extra duties.

3. A member serving out an approved sentence of confinement will be held beyond the expiration of term of service to serve out the punishment imposed.

### 12.B.11.i. Retention When Essential to Public Interest

Commanding officers may detain a member in service beyond the enlistment term for up to 30 days when the member's service is essential to the public interest, in the circumstances below. Refer to the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

1. The member is required as a witness in a proceeding pending when enlistment normally expires. Hold the member in an extended enlistment status until the proceeding has been completed.

2. The member's records and accounts have not been received when the enlistment normally would expire. Hold the member in an extended enlistment status pending receipt of such records.

3. If the pre-separation physical examination finds a disqualifying physical or mental defects.

4. The member is performing flood, hurricane, or any other emergency duty when enlistment expires.

### 12.B.11.j. Awaiting Final Reviewing Authority Action

A commanding officer retains a member being considered by a Reenlistment or Administrative Discharge Board until Commander (CGPC-epm-1) advises the commanding officer of the Final Reviewing Authority's action.

### 12.B.11.k. Transfer to the Reserve in Lieu of Discharge

Upon expiration of enlistment, an enlisted regular Coast Guard member who has an obligation under 10 U.S.C. 651 will be transferred to the Coast Guard Reserve under Article 12.B.41. in lieu of being discharged. Women who enlisted on or after 1

February 1978 incurred an obligation under 10 U.S.C. 651. Aliens have no military obligation under 10 U.S.C. 651 unless they have been lawfully admitted to the United States for permanent residence under the Immigration and Nationality Act.

### 12.B.11.l. Type of Discharge

A member discharged for enlistment expiration shall be given an honorable or general discharge as appropriate under Article 12.B.2.f.

### 12.b.11.m. Surrender of Uniform

The member may have to surrender his or her uniform. Article 12.B.53.e.

## 12.B.12. Convenience of the Government

### 12.B.12.a. Reasons for Discharge

Commander, CGPC may authorize or direct enlisted members to separate for the convenience of the Government for any of these reasons. **Commanding Officer, Training Center Cape May has final authority to discharge personnel listed in Article 12.B.12.a.5.c.**

1. General demobilization, reduction in authorized strength, or by an order that applies to all members of a class of personnel specified in the order.

2. Acceptance of a commission or appointment or acceptance into a program leading to an active duty commission or appointment in any Armed Forces branch.

3. National health, safety, or interest.

4. For immediate enlistment or reenlistment in the regular Coast Guard, provided reenlistment is for a longer term of service than required under the existing obligation.

5. Erroneous enlistment, reenlistment, extension, or induction including among others:

   a. A member enlisted or reenlisted, but erroneously was given a higher grade than that to which entitled. Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).

   b. A member enlisted or reenlisted, but is determined to have more than the maximum number of dependents authorized. Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).

   c. A member undergoing recruit training in an original enlistment, or a prior service member undergoing initial training in an original enlistment in the

Coast Guard, who has fewer than 60 days' active service in the Coast Guard has a physical disability not incurred in or aggravated by a period of active military service; i.e., the defect existed before the member entered the Coast Guard**; or fails to successfully complete established physical fitness accession standards prior to completion of training.**

6. To provide members' early separation under various authorized programs and circumstances.

7. A member's inability to perform prescribed duties, repeated absenteeism, or non-availability for worldwide assignment.

8. To provide the discharge of conscientious objectors.

9. Motion sickness.

10. Obesity, provided a medical officer certifies a proximate cause of the obesity is excessive voluntary intake of food or drink, rather than organic or other similar causes apparently beyond the member's control.

11. Unsatisfactory performers. Article 12.B.9. See Article 12.B.1 when recommending the discharge of a first-term performer for unsatisfactory performance.

12. A condition that, though not a physical disability, interferes with performance of duty; e.g., enuresis (bedwetting) or somnambulism (sleepwalking).

13. At the individual member's written request to permit him or her to enter or return to an accredited college or university. Article 12.B.8.

14. When a member is found to be serving in a constructive enlistment.

15. As a result of the issuance of a writ of habeas corpus wherein it has been determined the member's retention in the Coast Guard is illegal.

16. When the Commandant so directs for good and sufficient reasons.

17. When the Secretary of the Department of Homeland Security directs any member to separate before his or her term of service expires, if the Secretary determines such a separation is in the Coast Guard's best interest.

18. At the member's written request to carry out parental responsibilities for care of newborn children. Article12.F.

### 12.B.12.b. Commanding Officer's Authority

Commanding officers are authorized to separate early members who request to reenlist in lieu of extending under these circumstances:

1. To meet the obligated service requirement for transfer or training.

2. To meet the two-year obligated service requirement to advance to E-7, E-8, or E-9. Articles 1.G.14.a. and 5.C.25.e.

### 12.B.12.c. Character of Discharge

A member being discharged for the Government's convenience shall be given an honorable or general discharge, as appropriate, under Article 12.B.2.

### 12.B.12.d. Member's Right to Attorney

Commanding officers recommending involuntary separation under this Article for a member whose PDR indicates issuance of a general discharge must give the member the opportunity to consult with a lawyer counsel before initiating such action. Include a copy of the member's closed-out form CG-3306 of 30 June 1983 showing average Proficiency, Leadership, and Conduct marks and a copy of the current Enlisted Employee Review showing factor marks in the recommendation for discharge submitted to Commander (CGPC-epm-1).

### 12.B.12.e. Transfer in Lieu of Discharge

Members eligible for discharge under this Article's paragraph a.1., 3., or 17. may be required to transfer to or enlist in the Coast Guard Reserve in lieu of discharge.

### 12.B.12.f. Discharge for Other Reasons

If the commanding officer believes separation should not be for the convenience of the Government, but for unsuitability, misconduct, or any other reason, he or she will send a suitable recommendation to Commander (CGPC-epm-1) for consideration. Cases in this category include those in which the member's record shows commission of serious military offenses, a generally unsatisfactory military record, or other good, sufficient cause in the commanding officer's opinion. Article 12.B.10.

### 12.B.12.g. Surrendering Uniform

Any member discharged under this Article's paragraph a.8., 10., 11., 15., 16., or 17. Is required to surrender his or her uniform. Article 12.B.53.e.

| RECOMMENDATION FOR UNSUITABILITY DISCHARGE | |
|---|---|
| **ALPHA** | Name, social security number, and rate of member recommended for discharge. |
| **BRAVO** | Diagnosis code (ICD) as listed in Chapter 5, Medical Manual, COMDTINST M6000.1 (series). |
| **CHARLIE** | Name and address of psychiatrist on whose diagnosis recommendation for discharge is based and date of diagnosis. |
| **DELTA** | Statement no ratable disability exists and member is certified mentally competent. |
| **ECHO** | If general discharge is contemplated, statement the member was afforded right to legal counsel at the outset of discharge proceedings. (If member requested counsel, include name, grade, and unit counsel assigned or statement of member's waiver of right to counsel.) |
| **FOXTROT** | Member's statement on own behalf if he or she desires to make one or "I do not desire to make a statement." If member makes a statement, quote in entirety where feasible. |
| **GOLF** | Years and months of total active and inactive military service. |
| **HOTEL** | Average proficiency, leadership, and conduct marks through 30 June 1983, and the average marks for each factor for period after 30 June 1983. Article 12.B.48.b. for direction in determining the average marks of a member (non-rated, petty, or chief petty officer) who was evaluated using more than one form during his or her enlistment. |
| **INDIA** | Statement no disciplinary action is pending. |
| **JULIET** | Recommendation on surrendering uniform. |
| **KILO** | Grade, name, and title of officer verifying documentation and making the recommendation. Normally the regularly assigned commanding officer does this personally. Must be a commissioned officer. |
| **LIMA** | No separation pay authorized. |

### 12.B.16.l. Surrender of Uniform

The member must surrender his or her uniform. Article 12.B.53.e.

## 12.B.17. Security

When a member’s retention in the Coast Guard is not clearly consistent with the interest of national security, the Commandant will direct a discharge for security reasons with the discharge character and conditions as stipulated in current directives dealing directly with this matter.

## 12.B.18. Misconduct

### 12.B.18.a. Policy

Except as specifically provided here, only Commander CGPC may direct a discharge for misconduct and the type of discharge (under other than honorable, general, or honorable) as warranted by the particular circumstances of a given case. Article 12.B.2. Disability evaluation processing will be terminated as described in Article 12.B.1.e. for members discharged for misconduct. See Article 12.B.1, when recommending the discharge of a first-term performer for misconduct.

## 12.B.18.b. Reasons to Discharge for Misconduct

Commander, CGPC may direct discharging a member for misconduct in any of these cases:

1. **<u>Civilian or Foreign Conviction</u>. Conviction by foreign or domestic civil authorities or action taken tantamount to a finding of guilty, e.g., adjudication withheld; deferred prosecution; entry in adult/juvenile pretrial intervention programs, or any similar disposition of charges which includes imposition of fines, probation, community service, etc., of any offense which could warrant a punitive discharge if prosecuted under the Uniform Code of Military Justice (UCMJ). Whether a civilian offense could warrant a punitive discharge shall be determined by examining the maximum authorized punishment for the same or the most closely related offense under the UCMJ and the Manual for Courts-Martial (including Rule for Courts-Martial 1003(d)). A member subject to discharge because of conviction by civil court may be processed for discharge even though an appeal of that conviction has been filed or intent to do so has been stated.**

2. **<u>Pattern of Misconduct</u>. Members may be separated when they have:**

   a. **two or more non-judicial punishments, courts-martial, or civilian convictions or a combination thereof within a 2-year period;**

   b. **three or more unauthorized absences, each is at least three or more days, within a 2-year period;**

   c. **six or more unauthorized absences and the total amount is at least six days, within a 2-year period;**

   d. **a pattern of failure to contribute adequate support to dependents (see Art. 8.M);**

   e. **a pattern of failure to pay just debts;**

   f. **a pattern of shirking;**

3. **<u>Commission of a Serious Offense</u>. Commission of a serious offense does not require adjudication by non-judicial or judicial proceedings. An acquittal or finding of not guilty at a judicial proceeding or not holding non-judicial punishment proceeding does not prohibit proceedings under this provision. However, the offense must be established by a preponderance of the evidence. Police reports, CGIS reports of investigation, etc. may be used to make the determination that a member committed a serious offense.**

   a. **Members may be separated based on commission of a serious military or civilian offense when:**

**(1) The specific circumstances of the offense warrant separation; and**

**(2) The maximum penalty for the offense or closely related offense under the UCMJ and Manual for Courts-Martial includes a punitive discharge. The escalator clause of Rule for Courts-Martial 103(d) shall not be used in making this determination.**

4. Drugs.

a. Involvement with Drugs. Any member involved in a drug incident or the illegal, wrongful, or improper sale, transfer, manufacture, or introduction onto a military installation of any drug, as defined in Article 20.A.2.k., will be processed for separation from the Coast Guard with no higher than a general discharge. Commanding Officer, Training Center Cape May is delegated final discharge authority for members assigned to recruit training or prior service training program under this Article in specific cases of drug use before enlistment (as evidenced by a positive urinalysis shortly after entering training). New inductees shall sign an Administrative Remarks; CG-3307 entry acknowledging the presence of drugs in their bodies is grounds for a general discharge for misconduct.

b. Obstructing drug urinalysis testing by tampering with urine samples or documentation, including someone else's. Tampering includes, among other actions, submitting another person's sample in place of the member selected for testing, submitting samples containing substances other than urine, and altering the bar code labels, Urine Sample Custody Document, or unit sample ledger. Members discharged under this provision shall be issued no higher than a general discharge.

**5. Fraudulent enlistment. A member may be discharged for procuring a fraudulent enlistment, induction, or period of active service through any material misrepresentation, omission, or concealment which, if known at the time, might have resulted in rejection. The enlistment of a minor with false representation of his or her age or without proper consent will not in itself be considered a fraudulent enlistment. Commanding Officer, TRACEN Cape May, is delegated final discharge authority under this Article in these specific cases for members assigned to recruit training or prior service training program:**

**a. Deliberately concealed criminal records or other information necessary to effect enlistment; or**

**b. Any current or past medical conditions or problems discovered during recruit training, or prior service training program, which would have prevented enlistment in the Coast Guard, had they been known.**

### 12.B.18.c. Probation

**Commanding officers must afford a member a reasonable probationary period to overcome deficiencies before initiating administrative discharge action in cases of a pattern of failure to contribute adequate support to dependents (see 8.M.), a pattern of failure to pay just debts, or shirking. If a command contemplates discharging a member for reasons contained in this paragraph, the command shall initiate a formal probation or treatment period of at least six months. Additionally, the command shall make an appropriate Administrative Remarks, CG-3307, entry in the member's PDR stating the command will initiate administrative discharge processing unless the member shows significant improvement in overcoming the deficiency during the probationary period. The member must acknowledge the entry in writing. For Reservists who are shirking, a letter via Certified Mail, return receipt requested (Restricted Delivery to addressee only), stating the probationary period has begun may substitute for the CG-3307. Commanding officers are authorized to recommend discharge at any time during the probation if the member is not making an effort to overcome the deficiency. Submit copies of all CG-3307 entries as an enclosure to the discharge recommendation submitted to Commander (CGPC-epm-1).**

### 12.B.18.d Discharging Members with More than Eight Years Service for Misconduct

Commanding officers shall process all cases in which they contemplate a discharge under other than honorable conditions for misconduct as Article 12.B.32 prescribes. In addition, they shall follow that Article's procedures if considering discharging any member with eight or more years of total active and inactive military service for misconduct, even if contemplating an honorable or general discharge.

### 12.B.18.e. Discharging Members with Fewer than 8 Years Service for Misconduct

Commanding officers shall process members with fewer than eight years of total active and inactive military service recommended for honorable or general discharge for misconduct as follows:

1. Inform the member in writing of the reason(s) for being considered for discharge (specifically state one or more of the reasons listed in Article 12.B.18.b. supported by known facts).

2. Afford the member an opportunity to make a written statement. If the member does not desire to do so, the commanding officer sets forth that fact in writing over the member's signature. If the member refuses to sign a statement his or her commanding officer will so state in writing.

3. Afford the member an opportunity to consult with a lawyer as defined by Article 27(b)(1), UCMJ, if contemplating a general discharge. If the member requests counsel and one is not available, the commanding officer must delay discharge proceedings until such time as counsel is available.

4. Send the case containing a recommendation and these documents to Commander (CGPC-epm-1) for action:

   a. The reason(s) for processing (include reason such as repeated military offenses, drug abuse, indebtedness, etc.)

   b. If the reason(s) is (are) civil conviction(s), include:

      (1) The report Article 8.B.2. requires.

      (2) An official statement from the judge, prosecuting attorney, clerk or other court official reciting the civil statute(s) violated, charges on which tried and convicted, and sentence of the court.

      (3) Witnesses' statements, arrest reports, copies of court records and probation orders, if obtainable, and all other pertinent documents.

      (4) The maximum punishment which could have been imposed for such conviction under the UCMJ, if determinable. Based on the information furnished, Commander (CGPC-epm-1) will determine the maximum punishment imposed under 18 U.S.C. or the District of Columbia Code.

   c. Summary of Military Offenses. List in chronological order all disciplinary action during current enlistment, including:

      (1) Dates of non-judicial punishment or court- martial by type.

      (2) Description of offense(s).

      (3) Non-judicial punishment or sentence as approved and approval date.

      (4) All violations of regulations during current confinement with action taken.

      (5) The commanding officer's comments, including information on the counseling requirement for cases processed for **a pattern of failure to contribute adequate support to dependents (see Art. 8.M.), a pattern of failure to pay just debts, or shirking.**

      (6) The commanding officer's recommendation.

   d. These enclosures:

      (1) The copy of the letter notifying the member of the reason(s) for the processing and information on the member's rights and privileges.

      (2) The member's signed statement of awareness of rights and privileges and request to exercise or waiver of these rights.

(3) The member's signed statement, or member's written, signed statement declining to make a statement.

(4) A copy of the closed-out form CG-3306 dated 30 June 1983 showing average Proficiency, Leadership, and Conduct marks and a copy of the current Enlisted Employee Review showing factor marks.

(5) Other pertinent documents such as psychiatric or medical evaluations, statements of any witnesses (Chapter 12.E. for homosexual conduct policy), police reports, etc.

(6) A copy of the chain of custody test results form and the appropriate page from unit's drug urinalysis sampling ledger (applicable in cases of recommendations for discharge resulting from a urinalysis indicating drug abuse).

### 12.B.18.f. Surrender of Uniform

The member is required to surrender his or her uniform. Article 12.B.53.e.

## 12.B.19. Discharge Adjudged by Court-Martial Sentence

### 12.B.19.a. Definition

"Discharge" and "discharges" here refer to punitive discharges adjudged by sentence of general or special courts-martial.

### 12.B.19.b. Commandant's Policy

Convening and reviewing authorities should approve adjudged court-martial sentences to punitive discharge in those cases in which the trial record clearly warrants that action and the enlisted member's records and conduct show he or she is not fit for rehabilitation, meaning retention clearly is not in the Government's interest.

### 12.B.19.c. Commandant's Approval

Punitive discharges adjudged as sentences of courts-martial will be executed only on the Commandant's specific approval after appellate review of the sentence is complete. Refer to Military Justice Manual, COMDTINST M5810.1 (series). In cases in which confinement and punitive discharge have been imposed and the member has not completed the sentence to confinement when the Commandant approves executing the discharge, the prisoner is discharged and transferred to a federal penal institution to serve the remainder of confinement unless the Commandant remits the balance of the sentence to any confinement remaining at the time of discharge as an act of clemency. See Chapter 8.

### 12.B.19.d. Transfers

Enlisted members sentenced to discharge will be transferred under Article 12.B.45.

### 12.B.19.e. Vacating a Suspended Sentence

If executing a portion of a sentence which adjudges a discharge is suspended subject to a probationary period, the suspension may be vacated under the procedures set forth in the Military Justice Manual, COMDTINST M5810.1 (series). Commanding officers are directed to carefully consider reports of offenses committed by members serving in such status and undertake proceedings to vacate the suspension of the sentence only if the record clearly establishes such action is appropriate and in the Coast Guard's best interests. For a new offense the commanding officer may take any of the following actions:

1. Impose non-judicial punishment at captain's mast or refer the matter to a court-martial.

2. Initiate action to vacate suspension.

3. Both 1. and 2. In either instance, the commanding officer should first confer with the appropriate district or staff legal officer.

### 12.B.19.f. Character of Discharge

A member discharged as a result of a sentence of a general or special court-martial shall be issued a bad conduct discharge (DD Form 259 CG) or a dishonorable discharge (DD Form 260 CG), whichever appropriate authority directs.

### 12.B.19.g. Surrender of Uniform

The member is required to surrender his or her uniform. Article 12.B.53.e.

## 12.B.20. Uncharacterized Discharges

### 12.B.20.a. Definition

1. Uncharacterized discharges are authorized for all members separated at the entry level on or after 15 June 1983 who:

   a. Have fewer than 180 days of active service on discharge, and

   b. Demonstrate poor proficiency, conduct, aptitude or unsuitability for further service during the period from enlistment through recruit training, or

   c. Exhibit minor pre-existing medical issues not of a disabling nature which do not meet the medical/physical procurement standards in place for entry into the Service.

2. An uncharacterized discharge is used for most recruit separations, except for disability, prior service members entering recruit training, or in cases when another type of discharge may be appropriate as described in Article 12.B.16. for recruits with serious infractions.

### 12.B.20.b. Authority

Only Commander (CGPC-epm-1) and Commanding Officer, Training Center Cape May have final authority to discharge a member under this Article.

1. Commanding Officer, Training Center Cape May, when compelling circumstances exist, has the authority to award an uncharacterized discharge for service during boot camp in cases involving drug incidents.

2. Commander (CGPC-epm-1) has the authority, when compelling circumstances exist, to award an honorable discharge for service after boot camp.

### 12.B.20.c. Discharge Certificate

No discharge certificate will be issued to a member awarded an uncharacterized discharge. Only a DD-214 will be issued.

### 12.B.20.d. Characterized vs. Uncharacterized Service

The availability of the uncharacterized discharge does not preclude awarding recruits with serious infractions a type of discharge used for characterized service, usually General or Under Other than Honorable Conditions. If other than an uncharacterized discharge is appropriate, send requests to Commander (CGPC-epm-1) for consideration.

### 12.B.20.e. Counseling

As with most other types of separations, Commanding Officer, Training Center Cape May should not initiate uncharacterized discharge processing until he or she has formally counseled the member about deficiencies and afforded him or her an opportunity to overcome them as reflected in appropriate counseling or personnel records.

### 12.B.20.f. Administrative Discharge Board

Administrative Discharge Board procedures as described in Article 12.B.31. shall be used for members discharged under Chapter 12.E. and who have 180 days' or more service on notification of discharge.

### 12.B.20.g. Separation Program Designator

1. The following codes are authorized to be used with uncharacterized discharges:

| |
|---|
| JCM, JDA, JDK, JDU, JFA, JFC, JFN, JFT, JFV, JFW, JFX, JGA, JHF, JND, JRB, KDS, KFN, LGA |

2. Reentry (RE) codes will be issued only in accordance with Article 12.B.2.g. and the Certificate of Release or Discharge from Active Duty, DD-214 Instruction, COMDTINST M1900.4 (series).

## 12.B.21. Discharge for the Good of the Service

### 12.B.21.a. Request for Discharge

An enlisted member may request a discharge under other than honorable conditions for the good of the Service. **A discharge for the good of the Service is intended as an administrative substitute in situations where a member could potentially face a punitive discharge if convicted by a special or general court-martial. Members may request a discharge for the good of the Service if charges have been preferred against them and the maximum punishment, as described in the Manual for Courts-Martial, for the preferred charges includes a punitive discharge. In determining whether a punitive discharge is authorized, the provisions of Rule for Courts-Martial 1003(d), which permit a punitive discharge in certain circumstances even where a discharge is not otherwise authorized, apply. A member may request a discharge for the good of the Service anytime after charges have been preferred, but if a punitive discharge has been adjudged, the request must be submitted before the convening authority takes action on the sentence. Because this type of discharge is initiated by the member, no prior notice need be given the member, as is required for an involuntary discharge due to misconduct under paragraph 12.B. of this chapter. A member may request a discharge for the good of the Service as part of a pre-trial agreement in which the convening authority agrees to dispose of the charges at non-judicial punishment, refer the charges to a summary court-martial, disapprove an adjudged punitive discharge, or other appropriate consideration.**

**A request for discharge does not preclude or suspend disciplinary proceedings in a case. The officer who exercises general court-martial jurisdiction over the member concerned determines whether such proceedings will be delayed pending final action on a request for discharge. If the officer exercising general court-martial jurisdiction intends to recommend approval of the request, disciplinary proceedings should normally be held in abeyance unless there is a pre-trial agreement in which the convening authority has agreed to dispose of the charges at non-judicial punishment, refer the charges to summary court-martial, or disapprove any adjudged punitive discharge. Requests for discharge**

**under other than honorable conditions for the good of the Service should be sent through the officer exercising general court-martial jurisdiction for his or her personal review and comment.**

### 12.B.21.b. Legal Counsel

A member who indicates a desire to submit a request for a discharge under other than honorable conditions for the good of the Service will be assigned **military** counsel. If the member elects to have civilian counsel at his or her own expense, the record shall indicate the civilian counsel's name, address, and qualifications.

### 12.B.21.c. Request Format

A member who persists in the desire to request a discharge under other than honorable conditions under this Article after consultation with counsel personally signs such request using the following memorandum format:

*Signature*
From: [Rate, name, social security number]
To: Commander (CGPC-epm-1)
Thru: [Chain of command]

Subj: REQUEST FOR DISCHARGE UNDER OTHER THAN HONORABLE CONDITIONS FOR THE GOOD OF THE SERVICE

Ref: (a) Article 12.B.21., Personnel Manual, COMDTINST M1000.6, (series).

1. **Under the provisions of reference (a), I hereby request a discharge under other than honorable conditions for the good of the Service.**

2. I have consulted with [counsel's grade, name, or if civilian, name and title], a member of the Bar in the State of [fill in] who has fully advised me of the implications of such a request. The basis for my request for a discharge under other than honorable conditions for the good of the Service stems from my misconduct contained in the court-martial charges preferred against me in enclosure (1). I **request** to be administratively discharged. I am completely satisfied with the counsel I have received.

3. I understand if this request is approved I will receive a discharge under other than honorable conditions, which may deprive me of virtually all veterans' benefits based on my current period of active service, and I may expect to encounter substantial prejudice in civilian life in situations in which the type of service rendered in any Armed Forces branch or the character of discharge received therefrom may have a bearing.

4. I understand once I submit this request, I may withdraw it only with the consent of Commander (CGPC-epm-1).

5. I understand I may submit a sworn or unsworn statement on my behalf. [I do not desire to submit a statement.] [My sworn/unsworn statement is submitted herewith as enclosure (2).]

6. I make this request voluntarily, free from any duress. **[This request is in conjuction with a pre-trial agreement (PTA) in which the convening authority has conditionally agreed to (dispose of the charges at non-judicial punishment)(refer the charges to a summary court-martial)(disapprove a punitive discharge) pending approval of my request. A copy of the PTA is provided as enclosure ( )].** I have asked my counsel, who has fully explained to me the implications of my request, to witness my signature.

7. I have retained a copy of this request for a discharge under other than honorable conditions for the good of the Service and all enclosures related thereto.

Witnessed by:

_____
Signature of Counsel

_____
State licensed

_____
Date

Encl: (1) Copy of court-martial charges
(2) Member's statement (if any)
(3) PTA (if any)

### 12.B.21.d. Processing the Request

The member sends the request for discharge through the chain of command**, including the officer exercising general court-martial jurisdiction,** to Commander (CGPC-epm-1). The member's commanding officer shall recommend approval or disapproval of the member's request with appropriate justification for his or her recommendation, certify accuracy of the court-martial charges, and enclose the following documents in the forwarding endorsement:

1. A complete copy of all investigation reports.

2. Any other pertinent information, reports, statements, etc., the commanding officer considered in arriving at his or her recommendation.

### 12.B.21.e. Coast Guard Personnel Command's Review

The reason for discharge shall be for the good of the Service, **and shall be under other than honorable conditions.** Commanding officers shall not recommend the member for reenlistment. If Commander (CGPC-epm-1) believes the **facts do not warrant separation, or the** member warrants a more favorable discharge, Commander (CGPC-epm-1) may **reject the member's request for discharge. If the member is under the sentence of an approved, but unexecuted, punitive discharge, the request must be denied.**

### 12.B.21.f. Surrender of Uniform

The member is required to surrender his or her uniform. Article 12.B.53.e.

## 12.B.22. Canceling Void Enlistments

### 12.B.22.a. Policy

An enlistment determined to be void from its inception is canceled. A person whose enlistment is canceled by Commander (CGPC-epm-1) as being void from its inception will not be issued a discharge certificate.

### 12.B.22.b. Definition

Void enlistments include those entered into while the member is:

1. Intoxicated.

2. Insane.

3. A deserter from the U.S. Armed Forces.

4. Enlisted after he or she has received orders for induction.

5. Judicially coerced into an enlistment under the circumstances existing in U.S. v. CATLOW, 48 CMR 758 (1974) and its progeny, and

6. Enlisted as a result of recruiter misconduct under the circumstances existing in U.S. v. RUSSO, 50 CMR 650 (1975) and its progeny.

### 12.B.22.c. Processing After Enlistment Irregularities

In cases brought to trial by court-martial in which the presiding officer rules during the course of the trial the court lacks personal jurisdiction over the accused due to enlistment processing irregularities, use the following procedures:

1. Submit to Commander (CGPC-epm-1) a message report containing at a minimum a summary of the witnesses' testimony leading to presiding officer's decision. If the convening authority decides to request a reconsideration of the presiding officer's decision, the message report shall so state.

2. While a military court's determination it does not have jurisdiction over a person is conclusive for its purpose, an administrative determination must still be made whether the enlistment is void or valid and whether the Service will release or retain the individual.

3. Commander (CGPC-epm-1) will administratively determine the nature of the enlistment and direct the action to take in each case: The individual either may be immediately processed for release, retained until the convening authority completes the post-trial review action, or retained in the Coast Guard, depending on the case.

4. If release is authorized, process members under. Article 21.B.22.f.

### 12.B.22.d. Disposition Before Trial

In cases referred to trial by court-martial in which the defense expresses an intent to raise a motion based on lack of personal jurisdiction, the trial counsel conducts a thorough investigation. If thereafter the convening authority concludes the ends of justice will best be served by an administrative disposition before trial, take the following steps:

1. Request the individual to make a sworn statement witnessed by his or her defense counsel stating the basis on which he or she contends his or her enlistment is void.

2. Submits a message report to Commander (CGPC-epm-1) containing the following information:

   a. The accused's full name, rate and social security number.

   b. Date and place trial is scheduled.

   c. Offenses charged.

   d. Recruiter's full name and rate.

   e. Recruiter's current duty station (if known).

   f. Anticipated testimony of accused.

   g. Anticipated testimony of other defense witnesses or a summary or other evidence the defense expects to offer.

   h. The recruiter's anticipated testimony. Ensure the recruiter is properly advised of his or her rights before making any statement.

   i. Anticipated testimony of other Government witnesses or summary of other evidence the Government will offer.

3. If Commander (CGPC-epm-1) authorizes releasing the individual, file a copy of his or her statement, the charges, and the release authorization in the member's PDR and process the member for release under Article 12.B.22.f.

### 12.B.22.e. Other Void Enlistments

Other cases of apparently void enlistments not arising in connection with courts-martial proceedings shall be reported immediately to Commander (CGPC-epm-1), who will confirm the facts, direct the action to take, and determine the disposition of the person concerned.

## 12.B.22.f. Separating Due to Void Enlistment

When the decision is made to separate an individual for void enlistment, immediately notify the **SPO** to terminate the member's pay. The **SPO** promptly confirms this notice in writing. When separation is directed, the member may retain pay and allowances previously received, but no further payments will be made, including those for unpaid pay and allowances for accrued leave. The member shall be released as expeditiously as possible consistent with proper administrative procedures, as follows:

1. Offer the member the opportunity to take a physical examination. If he or she declines, request him or her to so state in writing and include the written refusal in the member's PDR and Health Record. If the individual refuses to execute a written refusal, make an Administrative Remarks, CG-3307, entry in the PDR to that effect. Only medical conditions requiring emergency treatment discovered during the course of a physical examination will be treated, and then only after the member executes a suitable consent form. Disqualifying medical conditions will not be referred to medical boards in cases processed under this Article, but they will be noted on Report of Medical Examination, Standard Form 88.

2. Recover Armed Forces ID Card, all dependent ID cards, all items of exterior uniform clothing, and all other military property the individual possesses.

3. Prepare DD Form 214. The following special requirements apply:

   a. Block 9A: Enter "Void Enlistment".

   b. Block 9C: Enter "Article 12.B.22.b., Personnel Manual, COMDTINST M1000.6 (series)" as authority.

   c. Block 9E: Enter "Note-Void Enlistment".

   d. Block 9F: Enter "None".

   e. Blocks 10, 12, 13, 15, 16, 17, 19, and 20: Enter "N/A".

   f. Block 18A: Enter "00 00 00".

   g. Block 27: Enter, "This enlistment is void in accordance with [enter the appropriate reason under Article 12.B.22.b.]. This release does not constitute a discharge and a discharge certificate has not been issued. Individual will not be enlisted at a later date unless Commanding Officer, CGRC approves first." Ensure the individual fully understands this action.

### 12.B.22.g. Transportation

Members released because of a void enlistment are entitled to transportation to their home of record or the place where they entered military service, in accordance with the Joint Federal Travel Regulations, Vol. 1, U7375.

## 12.B.23. Through 12.B.30. VACANT

## 12.B.31. Administrative Discharge Board and Final Action of Discharge Authority

### 12.B.31.a. Definition

An administrative discharge board is a fact-finding body appointed to render findings based on the facts obtained and recommend either retention in the Service or discharge. If recommending a discharge, the board also recommends a reason for discharge and the type of discharge certificate to be issued.

### 12.B.31.b. Composition

Administrative discharge boards **shall be composed and conducted in accordance with the Administrative Separation Board Manual, COMDTINST M1910.2 (series).**

### 12.B.31.c. Double Jeopardy

The Service will not subject any member to administrative discharge action based on conduct a previous administrative discharge board considered if the evidence before the subsequent board would be substantially the same as that before the previous board. The prohibition does not apply if:

1. A new board is convened under Article 12.B.31.e.(7) or the record is returned to the existing board for further consideration under Article 12.B.31.d.; or 2. The previous board's findings favorable to the respondent are determined to have been obtained by fraud or collusion.

### 12.B.31.d. Discharge Authority

Except as appropriate articles in this manual otherwise specify, the Coast Guard Personnel Command is the discharge authority in all cases of administrative separations. Send the original and one copy of the administrative discharge board report to Commander (CGPC-adm-2) through the chain of command for endorsement. When Commander (CGPC-c) receives the record of administrative discharge proceedings, he or she will review the board record and approve or disapprove the board's findings of fact, opinions, and recommendations in whole or in part. Commander (CGPC-c) may disapprove findings and opinions if they were made based on incomplete evidence, contrary to the evidence the board considered or

to law or regulation, a misunderstanding or misapplication of written policy, or otherwise clearly in error. If Commander (CGPC-c) disapproves the findings of fact, opinions, or recommendations; he or she may:

1. Amend, expand, or modify findings of fact and opinions or take final action other than that recommended without returning the record, if evidence of record supports that action and the final action states the specific reasons; or

2. Return the record to the board for further consideration with a statement of the specific reasons to disapprove the findings of fact, opinions, or recommendations.

### 12.B.31.e. Options of Discharge Authority

Commander (CGPC-c) may then take one of these final actions:

1. Approve the board's findings of fact, opinions, and recommendations and direct their execution.

2. Approve the board's recommendation for discharge, but change its type either to one more favorable than recommended if the circumstances warrant it or to one less favorable than recommended based on a determination the type of discharge recommended does not fall within Article 12.B.2. guidelines.

3. Approve the board's recommendation for discharge but change the basis for discharge when the record indicates such action would be appropriate, except Commander (CGPC-c) will not designate misconduct if the board has recommended discharge for unsuitability.

4. Approve a discharge, but suspend its execution for a specified probationary period. See Article 12.B.34.

5. Disapprove the recommendation for discharge and retain the member in the Service.

6. Disapprove the recommendation for retention and direct discharge under honorable conditions with an honorable or general discharge certificate as warranted.

7. Disapprove the findings, opinions, and recommendations and refer the case to a new board based on a finding of legal prejudice to the substantial rights of the respondent. If the case is referred to a new board:

    a. No member of the new board shall have served on a previous board which considered the same matter; and

b. The record of the earlier board's proceedings, minus the findings, opinions, recommendations, and unduly prejudicial matter may be furnished to the succeeding board.

### 12.B.31.f. Limits to Board Findings

Administrative discharge boards may not enter findings contrary to matters previously adjudicated in civil or court-martial convictions even if the appellate process is not complete. For the purposes of an administrative discharge proceeding instituted on the basis of the same facts, military and civil convictions conclusively show the facts underlying the conviction. Administrative discharge proceedings will not be used to collaterally attack a civil or military court conviction, although this does not preclude the respondent from presenting mitigating, extenuating, or explanatory matters. If executing the discharge without waiting for final action on the appeal of the conviction, if considered appropriate the member may be discharged with the appropriate type of discharge certificate Commander (CGPC-c) directs.

## 12.B.32. Procedure for Discharge Under Other than Honorable Conditions

### 12.B.32.a. Right to Counsel

Both the Government and respondent are entitled to legal representation before administrative discharge boards convened and constituted under Article 12.B.31. The respondent is entitled to the appointment of military counsel qualified under Article 27 (b), UCMJ or may obtain civilian counsel at his or her own expense. The district commander will provide the commanding officer legal counsel.

1. The Service will not discharge any member under other than honorable conditions without first affording him or her the right to present the case to an administrative discharge board with the advice and assistance of counsel and unless approved board findings and an approved recommendation for discharge under other than honorable conditions support such discharge. However, if appropriate, the Service may issue such discharge without board action if the member is beyond military control for prolonged unauthorized absence, requests discharge for the good of the Service, or waives the right to board action in writing.

2. The discharge authority may direct issuing the type of discharge recommended by an administrative discharge board or a more favorable discharge but not a less favorable discharge than that recommended.

3. Even if an administrative discharge board recommends retention, the discharge authority may direct separation if the circumstance of a particular case warrant. In this event, the discharge must be effected under honorable conditions and the member thus separated will be awarded an honorable or general discharge certificate as specified in the authority for discharge.

4. The Service will not administratively discharge any member with a discharge under other than honorable conditions if the grounds for that discharge are based wholly or partly on acts or omissions for which a court-martial resulting in acquittal or having the same effect previously tried the member, except if such acquittal or equivalent disposition was based on a legal technicality not according to the merits.

### 12.B.32.b. Discharge Procedure

Use the following procedure in the case of a member considered for a discharge under other than honorable conditions for misconduct under Article 12.B.18.

1. At the outset of the separation process, a member being processed for involuntary separation with a discharge under other than honorable conditions shall be provided the opportunity to consult with a legal counsel.

2. A member under military control will be notified in writing of the basis for the proposed discharge action and require the member to acknowledge receiving the notice by signing a copy. The notice shall include the following information:

   a. The basis for the proposed discharge action.

   b. A discharge under other than honorable conditions may deprive him or her of virtually all veterans' benefits based on the current period of active service.

   c. The member may encounter substantial prejudice in civilian life in situations in which the type of service rendered in any Armed Forces branch or the character of discharge received from it may have a bearing.

   d. The member has the right to present the case and appear in person before an administrative discharge board.

   e. The member has the right to be represented by counsel.

   f. The member may waive these rights conditionally or unconditionally in writing; however, no member will be permitted to do so until legal counsel has fully advised him on her on this matter. After counseling if the member waives the right to a hearing before an administrative discharge board, he or she must submit a signed statement as indicated in the **Administrative Separations Board Manual, COMDTINST M1910.2 (series).**

   g. The member, the counsel furnishing advice, and a witness must sign this statement.

3. If a member waives these rights unconditionally, Commander (CGPC-epm-1) may disapprove the waiver and refer the case to an administrative discharge board, direct retention on active duty, or direct discharge for misconduct or

security. If directing discharge, Commander (CGPC-epm-1) will specify the type of certificate.

4. If a member submits a conditional waiver, on approving it Commander (CGPC-epm-1) shall direct separation, specifying either an honorable or under less than honorable conditions discharge. If disapproving a conditional waiver, Commander (CGPC-epm-1) will return the case for further processing under this Article.

5. A member unable to appear in person before an administrative discharge board due to confinement by civil authorities will be advised (by registered mail) of the proposed discharge action, the type of discharge certificate that may be issued, and the fact that action has been suspended to give the member the opportunity to exercise the right to:

   a. Request appointment of a military counsel as a representative to present the case before an administrative discharge board in the member's absence.

   b. Submit statements on his or her own behalf.

   c. Waive these rights, either in writing or by declining to reply to the letter of notification within 15 days of the date he or she received the registered letter.

6. Except for Reservists, a member beyond military control for unauthorized absence of more than one year may be issued a discharge under other than honorable conditions in absentia. Notice of the imminent discharge action and its effective date will be sent by registered mail to the member's or next of kin's record address, as appropriate.

### 12.B.32.c. Commanding Officer's Brief

After following the procedures in Article 12.B.32.b. and if the member waives the right to refer the case to an administrative discharge board, the commanding officer will prepare a brief containing this information to send to Commander (CGPC-epm-1) when forwarding the recommendation for discharge for the Commandant's action:

1. The commanding officer's detailed comments and recommendation.

2. Summary of Military Offenses. List in chronological order all disciplinary action during the current enlistment. Include PDR entry locations, date of non-judicial punishment or court-martial by type, description of offenses, non-judicial punishment or sentence as approved, and approval date.

3. Unclean Habits, if Any. Substantiate all unclean habits including repeated venereal disease infections during the current enlistment. When reporting venereal diseases, indicate the date of each admission and nature of the infection.

4. Civil Convictions, if any, on the basis of information contained in the PDR or otherwise readily available. List date and court in which convicted, offense, and sentence awarded.

5. If recommending an honorable or general discharge, the commanding officer shall recommend whether the individual should be required to surrender his or her uniform. Article 12.B.53.e.

6. Attach the following enclosures to the brief:

   a. The member's signed statement on own behalf, if submitted.

   b. A copy of the closed out form CG-3306 dated 30 June 1983 showing average Proficiency, Leadership, and Conduct marks and a copy of the current Enlisted Employee Review showing factor marks.

   c. The member's signed waiver of rights outlined in the **Administrative Separations Board Manual, COMDTINST M1910.2 (series)**, if submitted.

   d. Other pertinent documents such as psychiatric or medical evaluations (especially in aberrant sexual behavior cases), statements of any witnesses, police reports, etc.

### 12.B.32.d. Convening an Administrative Discharge Board

If the member retains the right to have an administrative discharge board hear the case, the commanding officer convenes an administrative discharge board under Article 12.B.31. and the Administrative Investigations Manual, COMDTINST M5830.1 (series). Commanding officers are hereby authorized to convene administrative discharge boards on enlisted Reserve members on active duty; Article 12.B.31.a. The commanding officer furnishes the administrative discharge board president with the information listed in subparagraphs 2., 3., and 4. above plus other pertinent documents specified in subparagraph 6. In submitting the case to the board the commanding officer refrains from commenting on those facts or the respondent, presenting any argument to the board based on those facts, and recommending separation or type of discharge.

### 12.B.32.e. Board Action

If an administrative discharge board recommends discharge it will recommend a specific type of discharge to be issued; e.g., honorable, general, or under other than honorable conditions, based on the individual's overall military record.

### 12.B.32.f. Commandant's Final Action

Commander, Coast Guard Personnel Command's final action may differ from the command recommendation under Article 12.B.32.c. or the administrative discharge board's recommendation under Article 12.B.32.d. above.

### 12.B.32.g. Waiver or Forfeiture of Administrative Separation Board

**Waivers or Forfeiture of Administrative Separation Board must be documented as outlined in the Administrative Separations Board Manual,COMDTINST M1910.2 (series).**

## 12.B.33. VACANT

## 12.B.34. Suspending Execution of Approved Discharge on Probation

### 12.B.34.a. Policy

Before a member's enlistment or period of obligated service expires, Commander (CGPC-c) may suspend executing an approved discharge for a specified period if the circumstances in a case indicate a reasonable prospect for rehabilitation. During this period of suspension, the member will be afforded an opportunity to demonstrate proper behavior and efficient performance of assigned duties for an extended period under varying conditions.

1. When the member satisfactorily completes the probationary period, the approved discharge will be canceled automatically.

2. The member's further misbehavior, substandard performance of duty, or demonstrated inability to conform to the demands of a military environment during the probationary period may establish the basis for one of these actions:

    a. Punitive or new administrative action may be initiated despite the suspension of executing the approved discharge.

    b. Suspension of the approved discharge vacated, and the approved discharge executed, including discharging a member in absentia if he or she has been beyond military control for 15 or more days.

### 12.B.34.b. Commander, Coast Guard Personnel Command's Actions

In all cases in which probation is authorized, Commander (CGPC-c)'s action will include instructions about the terms of the probation and specify the type of discharge to be executed if the member does not fulfill the terms of the probation, except for those cases described in Article 12.B.34.c. below. A discharge other than the type specified will not be given the member unless the case is reprocessed under Articles 12.B.16. or 12.B.18. and Commander (CGPC-c) directs another discharge.

### 12.B.34.c. Commandant's Authority

In cases in which the Commandant as Final Reviewing Authority has disapproved an

administrative discharge board's recommendation for retention, but suspended executing the discharge on probation, the Commandant reserves the authority to execute the discharge if the member does not fulfill the terms of the probation. In these cases, the commanding officer will send a fully documented recommendation to Commander (CGPC-c).

## 12.B.35. Through 12.B.40. VACANT

## 12.B.41. Procedures to Effect Transfer to Fulfill Service Obligation

### 12.B.41.a. Definition

Women who enlisted in the U.S. Armed Forces on or after 1 February 1978 acquired an obligation under 10 U.S.C. 651. Aliens have no military obligation under 10 U.S.C. 651 unless they have been lawfully admitted to the United States for permanent residence under the Immigration and Nationality Act. A member fulfills his or her military obligation when he or she:

1. Is discharged for reasons other than to acquire another military status.

2. Has served as a member of the Armed Forces for six years (eight years if enlisted on or after 1 September 1984) excluding all periods of lost time (10 U.S.C. 972).

3. Transfers to the Coast Guard Reserve to fulfill a service obligation as indicated by the member's PDR or the Commandant directs such transfer.

    a. If not eligible or recommended for reenlistment in the regular Coast Guard the member will be discharged from the regular Coast Guard instead of being transferred to the Reserve.

    b. If eligible or recommended for reenlistment in the regular Coast Guard, the member transfers to the Coast Guard Reserve. Except as otherwise provided in this subparagraph, aliens will not be transferred to the Coast Guard Reserve but will be discharged when they become eligible for discharge. Article 12.B.47. If otherwise eligible, naturalized citizens transfer to the Coast Guard Reserve.

### 12.B.41.b. Transfer Procedures

Transfer procedures for a physical examination, travel, pay, etc., are the same as for processing a discharge. In addition, the following instructions apply:

1. The member transfers in the rate in which he or she serves when released from active duty.

2. **The procedures for releasing a member from active duty to the Coast Guard Reserve are contained in chapter 3, Personnel and Pay Procedures Manual, PSCINST M1000.2(series).**

## 12.B.42. Releasing Reserve and Retired Enlisted Members from Active Duty During War or National Emergency

During war or national emergency, enlisted Reserve and retired members will be released from active duty only under instructions issued by the Commandant.

## 12.B.43. Effective Time of Separation

### 12.B.43.a. Effective Time of Discharge

Subject to any law providing otherwise, an active duty enlisted member's discharge takes effect when the discharge certificate is delivered. Commander (CGPC) shall specify the effective date of discharge for all administrative discharge, normally 20 working days from approval date. Members on leave on the effective separation date are considered to be on active duty until 2400 hours of the effective separation date, regardless of when the separation documents arrive in the mail. The effective separation date is a leave day and is charged as annual leave. If a member is discharged while absent without authority or in civil confinement, the discharge certificate is delivered when proper authority signs it. If a discharge is effected so the member can immediately enter the same or any other Armed Forces component in the same or any other status, for administrative purposes the discharge is dated as of the date preceding such entry or re-entry. If a member is assigned an escort to the home of record, the discharge certificate will not be delivered until actual arrival at the home of record and the next of kin, other close relative, or court-appointed guardian assumes custody. Article 12.B.46.a.

### 12.B.43.b. Effective Time of Release

Subject to any law providing otherwise, the release to inactive duty of a regular Coast Guard member transferred to the Coast Guard Reserve and concurrently released to inactive duty takes effect when the separation document is delivered. Members on leave on the effective separation date are considered on active duty until 2400 hours of the effective separation date regardless of when the separation documents arrive in the mail. The effective separation date is considered a day of leave.

### 12.B.43.c. Reservist's Effective Time of Release

Subject to any law providing otherwise, the release to inactive duty of a Reservist who was called to active duty takes effect either at the actual time he or she arrives home or the authorized travel time expires, whichever is earlier.

### 12.B.43.d. Injury While Traveling

If a discharged member is seriously injured while returning home and taken to a service hospital, he or she may be eligible for hospitalization and other benefits from the Veterans' Administration; the member should be advised to file an appropriate claim with that agency.

## 12.B.44. VACANT

## 12.B.45. Transfer for Discharge Under Other than Honorable Conditions

Members discharged under other than honorable conditions shall be transferred under these instructions, except for members under 18 years of age, who transfer under Article 12.B.46.a.

### 12.B.45.a. Members Serving Abroad

The Service will not discharge any member under other than honorable conditions in a foreign country except for citizens of the Republic of the Philippines. Article 12.B.47.

### 12.B.45.b. Informing District Commander

When transferring members for a discharge under other than honorable conditions, bad conduct, or dishonorable discharge, send a letter, with copy to Commander (CGPC-epm) explaining the circumstances of the transfer to the district commander to which transferred for discharge. Transfer is to be effected without guard, unless the responsible officer deems it necessary. In no circumstances, however, may these members carry their own records. In all instances, the member should be advised of the fact that discharge authorization does not preclude further disciplinary action and any infraction of regulations while en route to a district office will result in commensurate action and delay of discharge.

### 12.B.45.c. Transportation

Under Chapter 7, Part P, Joint Federal Travel Regulations, any enlisted member separated with a discharge under other than honorable conditions, bad conduct, or a dishonorable discharge is entitled to transportation in kind and meal tickets from the place of discharge to his or her home of record unless the member is confined pursuant to sentence of a civil court on the discharge date. Instead of the home of record, the member may be furnished transportation in kind and meal tickets from the place of discharge to a place other than the home of record if:

1. The member so requests, and

2. In the district commander's or commanding officer's judgment, furnishing such transportation in kind and meal tickets would be in the best interest of the member concerned, and

3. The cost to the Government of such transportation and meals does not exceed that of transportation to the member's home of record.

## 12.B.46. Separation Under Honorable Conditions

### 12.B.46.a. Separation from Duty Station

A member who is separated under honorable conditions is separated from his or her duty station with these exceptions:

1. A member under 18 years of age deemed immature, irresponsible, and/or unable to perform travel without constituting a menace to himself or herself or the public shall be discharged from the current duty station and assigned an escort to accompany him or her to the custody of the next of kin, other close relative, or court-appointed guardian. In such cases, the effective discharge date is that on which the escort delivers the discharge certificate to the person assuming custody; Articles 12.B.14.l. and 12.B.43.

2. An alien separates under Article 12.B.47.

3. A member who at the time of separation serves in a foreign country transfers to the district nearest the point of debarkation within the continental United States for separation. If circumstances warrant, the district commander designates a major command to which the member may report for processing. Article 4.H.1.d. In lieu of transferring to CONUS, the member may be separated in the area where serving if the cognizant district commander approves based on the member fulfilling these criteria; send all requests of a questionable nature to Commander (CGPC-epm-1). The member:

   a. Has no record of serious disciplinary infractions.

   b. Has no record of complaints of non-support or indebtedness.

   c. Is not attempting to evade judicial action.

   d. Does not exhibit a potential for discreditable conduct.

   e. Has obtained the necessary passport and visa, when required.

4. When a member serves OCONUS and it is deemed more economical or in the Government's best interests, taking into account the cost of transportation, the unavailability of medical facilities and other processing facilities, and any compensatory absence to his or her credit and any leave in excess of 60 days on the separation date, authority may be requested from Commander (CGPC-epm-1) to transfer the member to a district office or major command designated by the receiving district nearest the place where the member has elected to receive

   mileage allowance on separation; Article 4.H.1.d. The member will not be retained beyond the expiration of enlistment date or period of obligated service solely for the purpose of taking leave. Proceed time is not authorized on transfer for separation; Article 4.G.10.

### 12.B.46.b. Pre-Separation Activities

Before transferring members for separation, the unit from which transferred will accomplish the following actions:

1. Give physical examination. Article 12.B.6.

2. Commanding officers shall ensure two entries are made in the member's Administrative Remarks, CG-3307, in the PDR stating whether the commanding officer recommends reenlistment and the member's eligibility for reenlistment if he or she has fewer than six months' obligated service at time of transfer. If a member is not recommended for reenlistment though average marks for Proficiency, Leadership and Conduct through 30 June 1983 or the minimum factor scores for an honorable discharge shown on the chart in Article 12.B.2.f. for marks assigned after 30 June 1983 meet the requirements for honorable discharge, enter a full explanation. Article 12.B.4.d.

3. When a member recommended for reenlistment elects transfer for separation under Article 12.B.46.a. in lieu of reenlisting at his or her present station, make an entry in the member's PDR on an Administrative Remarks, CG-3307, as follows. Article 12.B.4.

   I hereby elect to return to the nearest Coast Guard district within the United States continental limits for separation in lieu of reenlisting at my unit. I understand I then cannot reenlist unless Commander (CGPC-epm-1) specifically authorizes me to do so and if so, Commander (CGPC-epm-1) also will specify the rate authorized, which may be lower than my present rate, and the district to which I will be assigned (if applicable). I further understand I cannot expect to reenlist in a rate higher than pay grade E-4.

   _____
   Signature

   _____
   Signature of Witness

4. Note the place from which the member elects mileage allowance and document it in accordance with the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

5. Check the PDR for correctness and completeness. Articles 4.B.1.i., 12.B.49.a. and c., and the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series).

6. Advise the member of all rights and benefits. Article 12.B.53.f.

7. Ensure the member understands when granted compensatory absence or leave en route, the unit will not retain him or her beyond the expiration of enlistment date or period of obligated service solely to take leave. Article 12.B.46.a.

### 12.B.46.c. Place of Separation

The place of separation is the actual location of the unit to where the member is attached on the separation date and the separation papers are delivered to the member, not necessarily the place where the separation papers are prepared. District commanders must arrange and ensure instructions are prepared describing the separation procedures for cutters or stations within their district without commanding officers or officers-in-charge whom the Commander (CGPC-epm) or district commanders have authorized to effect separations. The district office or some intermediate unit having a commanding officer may complete a discharge certificate or release from active duty orders, PDR, and related papers and mail them to the member's unit for delivery. The Service will not transfer any member for separation solely because his or her cutter or station is under the command of an officer-in-charge. Article 12.B.10.

## 12.B.47. Separating Aliens

### 12.B.47.a. Notifications

If members who are not United States citizens are to separate within the United States or its possessions, notify the nearest district office of the Bureau of Citizenship and Immigration Services, Department of Justice, of the pending separation and its prospective date. Submit the notice in sufficient time to permit the immigration authorities to take any action they deem appropriate before the date when the member separates. Request them to acknowledge the notice and do not separate the member concerned until such acknowledgment is received. Put a copy of the notice and acknowledgment in the member's PDR.

### 12.B.47.b. Philippine Citizens

When enlisted members who are citizens of the Republic of the Philippines are about to become eligible to separate, they shall be transferred to Integrated Support Command (ISC) Alameda, for separation regardless of the character of their

discharge except for those citizens of the Republic of the Philippines who:

1. Will reenlist immediately after separation or voluntarily extend enlistment. Enter an Administrative Remarks, CG-3307, in the PDR; the member must sign it to acknowledge having been properly advised and counseled about losing entitlement to file for U.S. citizenship unless such reenlistment or extension actually occurs in the United States or its stated possessions (American Samoa, Swans Island, Guam, Puerto Rico and the Virgin Islands). If reenlisting or extending in the U.S. or its stated possessions this entry is not required.

2. For valid reasons, such as a lawful admission to the United States for permanent residence, may remain in the United States. If the member is separated at the current unit instead of being transferred to the ISC Alameda, the basis for such action will be fully documented in the member's PDR on an Administrative Remarks, CG-3307, and supported by the original(s) or certified copies of all correspondence about to the case.

### 12.B.47.c. Member's Acknowledgment

Before transfer to ISC Alameda for separation, a member with dependents signs a statement on an Administrative Remarks, CG-3307, to be filed in his or her PDR, certifying the provisions of Article 12.B.4.c. have been explained and the member understands them.

## 12.B.48. Determining Final Average Marks

Upon separation from the Coast Guard (discharge, retirement, transfer to the Reserve, or release of a Reservist to inactive duty), the member's evaluation will be determined on Form CG-3306 and/or Enlisted Employee Review according to the following instructions.

### 12.B.48.a. Member Evaluated on Only One Form During Enlistment

1. Consider all evaluations assigned in each factor in computing an average for that factor.

2. Add marks in each column on the CG-3306 and/or Enlisted Employee Review**.** Divide the sum by the number of marks to arrive at the average mark for each factor. Compute to one decimal place (do not round off) as illustrated in the example below.

3. Enter all final average marks on the CG-3306 and/or Enlisted Employee Review.

| ***EXAMPLE*** **MARKS (FROM CG-3306 or EER)** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **DATE** | **RATE** | **MIL** | **TEAM** | **WORK** | **LDRSHP** | **REP CG** | **HUMAN** |
| 7/82 | SA | Completed Recruit Training | | | | | |
| 10/82 | SA | 18 | 18 | 27 | | 20 | 31 |
| 1/83 | SA | 21 | 17 | 29 | | 20 | 33 |
| 4/83 | SN | 20 | 18 | 28 | | 21 | 32 |
| 10/83 | SN | 22 | 18 | 30 | | 22 | 33 |
| 2/84 | SN | 16 | 11 | 25 | | 12 | 24 |
| 9/84 | SN | 20 | 17 | 28 | | 21 | 31 |
| 3/85 | SN | 22 | 17 | 29 | | 20 | 28 |
| 9/85 | SN | 21 | 17 | 28 | | 22 | 29 |
| 3/86 | SN | 24 | 18 | 30 | | 22 | 29 |
| Total Factor Scores | | 184 | 151 | 254 | | 180 | 270 |
| Number of Marks | | 9 | 9 | 9 | | 9 | 9 |
| Final Factor Avg. for Enlistment | | 20.4 | 16.7 | 28.2 | | 20.0 | 30.0 |

## 12.B.48.b. Member Evaluated on More than One Form During Enlistment

Obtain a final characteristic average for members evaluated on more than one form (non-rated, petty officer, or chief petty officer) during his or her enlistment. Exercise caution in determining the correct number of characteristics to use in dividing each factor as each separate form contains a different number of characteristics.

1. Consider all evaluations assigned in each factor in computing its average.

2. Add marks in each column on the CG-3306 and/or Enlisted Employee Review.

3. Divide the sum by the cumulative number of characteristics for each factor to arrive at the average characteristic mark for each factor. Compute to one decimal place (do not round off) as illustrated in the example below showing the number of characteristics within each factor for each separate evaluation form.

4. Enter all final average marks on the CG-3306 and/or Enlisted Employee Review.

| | **MIL** | **TEAM** | **WORK** | **LDRSHP** | **REP CG** | **HUMAN** | **TOTAL** |
|---|---|---|---|---|---|---|---|
| Non-Rated | 5 | 4 | 7 | | 5 | 8 | 29 |
| Petty Officer | 4 | 4 | 11 | 7 | 5 | 7 | 38 |
| CPO | 4 | 3 | 11 | 7 | 5 | 7 | 37 |

5. The following example shows how to determine the correct number of characteristics to obtain a member's average characteristic marks over his or her enlistment. Here, the individual completed a four-year enlistment and was promoted from non-rated to PO3 during the enlistment. The numbers in parenthesis show the number of characteristics used in the individual's evaluation for the period and are taken from the chart above. The numbers are printed for example purposes only: *DO NOT ENTER THEM ON THE ACTUAL CG-3306 or ENLISTED EMPLOYEE REVIEW***.**

| ***EXAMPLE*** **MARKS (FROM CG-3306 or EER)** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **DATE** | **RATE** | **MIL** | **TEAM** | **WORK** | **LDRSHP** | **REP CG** | **HUMAN** |
| 7/82 | SA | Completed Recruit Training | | | | | |
| 10/82 | SA | 18(5) | 18(4) | 27(7) | | 20(5) | 31(8) |
| 1/83 | SA | 21(5) | 17(4) | 29(7) | | 20(5) | 33(8) |
| 4/83 | SN | 20(5) | 18(4) | 28(7) | | 21(5) | 32(8) |
| 10/83 | SN | 22(5) | 18(4) | 30(7) | | 22(5) | 33(8) |
| 2/84 | SN | 21(5) | SUT | SUT | | SUT | SUT |
| 9/84 | PO3 | 17(4) | 15(4) | 45(11) | 26(7) | 22(5) | 28(7) |
| 3/85 | PO3 | 19(4) | 16(4) | 47(11) | 28(7) | 21(5) | 28(7) |
| 9/85 | PO3 | 18(4) | 17(4) | 46(11) | 30(7) | 22(5) | 30(7) |
| 3/86 | PO3 | 18(4) | 18(4) | 46(11) | 29(7) | 22(5) | 30(7) |
| Total Factor Scores | | 174 | 137 | 398 | 113 | 170 | 245 |
| Number of Char.'s | | 41 | 32 | 72 | 28 | 40 | 60 |
| Final Char. Avg. for Enlistment. (Divide total factor score(s) by total no. of char.'s for each factor.) | | 4.2 | 4.2 | 4.1 | 4.0 | 4.2 | 4.0 |

### 12.B.48.c. Supplemental Conduct Mark

To determine the final average supplemental conduct mark awarded eligible members under Article 10.B.2.c., add the supplemental conduct marks awarded and divide the sum by the number of marks to arrive at the average mark. Compute to two decimal places (do not round off). Enter the final average mark on the CG-3306 and/or Enlisted Employee Review.

## 12.B.49. Personnel Data Record Entries at Departure

### 12.B.49.a. Correcting Entries

Before discharging, retiring, transferring to the Reserve, or releasing an enlisted member from active duty, check the member's Personnel Data Record (PDR) for correctness and completeness. The Personnel and Pay Procedures Manual, PSCINST M1000.2 (series) contains general instructions about PDR entries. The following guidelines govern correcting incomplete or incorrect PDR entries.

1. Correct incorrect or incomplete entries on the basis of whatever authentic information is available. Consider correspondence, official reports, or forms as authentic information.

2. If information necessary to correct a PDR is not available, do not withhold the discharge, retirement, transfer to the Reserve, or release from active duty, but effect it on the basis of the PDR entries after making substantiated corrections.

3. Whenever an entry or correction is made in a PDR under authority of this paragraph, the commanding officer or other officer authorized to sign PDR entries signs the entry or correction.

4. PDR entries or corrections, if arbitrary, unsubstantiated by authentic information, or unauthorized as such, may result in issuing a type of discharge to which the individual is not entitled.

### 12.B.49.b. Administrative Remarks

Makes the following entries in the PDR's on an Administrative Remarks, CG-3307.

1. Compliance with Continued Health Care Benefit Program, COMDTINST 1760.7 (series), where applicable.

2. Show the applicable Article and the specific authorization for the member's discharge, retirement, transfer to the Reserve, or release from active duty.

3. Honorable discharge button delivered, final average of Proficiency, Leadership, and Conduct marks before 1 July 1983, final average scores after 30 June 1983, whether recommended for reenlistment, reenlistment code, effective time of discharge, if for other than expiration of enlistment. Article 12.B.43.

4. Signed copy completed in accordance with Article 12.B.4.d. when applicable, together with this information:

   a. Completed (no.) years, (no.) months, and (no.) days of active military service. Deductible time: (no.) years, (no.) months, and (no.) days or (No deductible time).

   b. Transferred to the Coast Guard Reserve or (released to inactive duty and retained in the Coast Guard Reserve) to complete a total of (no.) years of service from (date of enlistment) and (no.) days deductible time. (If none, so indicate.) If deductible time is involved, show the dates of such absence.

### 12.B.49.c. Personnel Data Record Disposal

On separation, dispose of the PDR as the Personnel, Pay, and Procedures Manual, PSCINST M1000.2 (series) prescribes.

### 12.B.49.d. Discharge and Reenlistment

On discharge and reenlistment, Article 1.G.12. on maintaining the working PDR when the member is discharged and reenlists within 24 hours.

### 12.B.49.e. Additional Documents

Send these documents to Commander (CGPC-adm-3) in addition to those listed in the Personnel, Pay, and Procedures Manual, PSCINST M1000.2 (series) when applicable:

1. Signed copy of member's statement if discharged for unsuitability or misconduct. Articles 12.B.16. and 12.B.18.

2. Signed copy of waiver of Physical Evaluation Board. Article 12.B.15.

3. Copy of letter to next of kin when discharging minors. Article 12.B.14.

4. Signed copy of request for diagnosis or underlying cause of discharge, if made, and copy of reply thereto. Article 12.B.15.

### 12.B.49.f. Health Record Disposal

Promptly send the completed health record to Commander (CGPC-adm-3).

## 12.B.50. Certificate of Release or Discharge from Active Duty, DD-214

Certificate of Release or Discharge from Active Duty, DD Form 214, COMDTINST M1900.4 (series), for instructions on preparing and distributing Form DD-214.

## 12.B.51. Discharge Certificates

### 12.B.51.a. Qualified Recipients

A discharge certificate must be issued to each member on discharge, unless he or she is continuing on active duty. Members released from active duty who transfer to the Reserve will be issued a discharge certificate when they fulfill their military obligation.

### 12.B.51.b. Certificate's Reverse Side

The reverse side of all discharge certificates shall be left blank.

### 12.B.51.c. Replacing Certificates

On satisfactory proof a discharge certificate was lost or destroyed without the fault of the individual to whom it was issued, Commander (CGPC-adm-3) will issue a certificate in lieu of discharge. Apply for a certificate in lieu of discharge to replace a lost or destroyed discharge certificate to Commander (CGPC-adm-3). Only Commander (CGPC-c) can issue a duplicate or copy of a discharge certificate.

### 12.B.51.d. Delegating Responsibility

The commanding officer may delegate a commissioned officer, chief warrant officer, chief petty officer, or first class petty officer as custodian responsible for discharge certificates. Those designated will ensure safekeeping, accountability, and proper issue of all discharge certificates.

## 12.B.52. Honorable Discharge Button

### 12.B.52.a. Qualified Wearers

The Honorable Discharge Button shall be issued to a member who has served more than 30 days of active duty or active duty for training and is discharged from an original Coast Guard or Coast Guard Reserve enlistment. At the member's request, a subsequent discharge button will be issued to replace a lost one. Only those individuals entitled to it may wear the discharge button on civilian clothing.

### 12.B.52.b. Administrative Remarks

On issuing the Honorable Discharge Button, make an appropriate entry in the member's PDR on an Administrative Remarks, CG-3307. For subsequent discharge, make an appropriate entry indicating that the button was issued previously. Make an entry when issuing a button to replace a lost one.

### 12.B.52.c. Delegating Responsibility

The commanding officer may delegate a commissioned officer, chief warrant or chief petty officer as custodian to ensure safe-keeping of discharge buttons.

### 12.B.52.d. Obtaining Supplies

District commanders and commanding officers of Headquarters units procure discharge buttons from the Baltimore Supply Center. Other commanding officers obtain their supplies from their respective district commander.

## 12.B.53. General Information on Separation Without Immediate Re-enlistment

### 12.B.53.a. Policy

Under 10 U.S.C. 1168(a), an Armed Force may not discharge or release any member from active duty until the certificate of discharge or release from active duty orders and final pay (or a substantial portion of it) are ready for delivery to the member or his or her next of kin or legal representative.

### 12.B.53.b. Monitoring

The unit personnel officer shall monitor pending separations to ensure no delays occur in effecting the separation on the normal enlistment expiration and issuing DD-214. Personnel, Pay and Procedures Manual, PSCINST M1000.2 (series).

### 12.B.53.c. Leave in Connection with Separation

At his or her discretion, a commanding officer may grant delay chargeable to annual leave in connection with any type of separation. If the member is separated early under Article 12.B.8., it is not in the Coast Guard's best interest to authorize a "constructive" separation date more than three months before the normal enlistment expiration date by combining leave with early release authority for the member's convenience. Therefore, a "constructive" release longer than three months is not authorized. Complete all documents to the fullest extent possible before the member departs from the last permanent duty station or the processing point, as applicable. On the effective separation date, make the final entries and distributes copies of documents under current instructions. Endorses release from active duty orders on CG-3312D to show the amount of leave granted. If no release from active duty orders are involved, prepares leave papers. Members on leave on the effective separation date are considered as being on active duty until 2400 hours of that date. The effective separation date will be charged as a day of leave.

### 12.B.53.d. Reenlistment Information

1. Since authorization to enlist in the Coast Guard (Active and Reserve) is not guaranteed after a break in service, the Service encourages members recommended for reenlistment to reenlist on active duty or enlist in the Coast Guard Reserve immediately. Commanding officers should inform members separating from active duty who do not have a remaining obligation under 10 U.S.C. 651 that they will have to apply to the nearest recruiting office if they decide in the future to enlist in the Coast Guard (Active or Reserve). The recruiting office will refer individual cases to Commanding Officer, Coast Guard Recruiting Command, if necessary.

2. Give every member discharged and not recommended for reenlistment the following information:

a. Fingerprints undoubtedly will detect fraudulent enlistment in any Armed Forces branch; and

b. If a former member enlists by concealing any previous service and discharge, that individual will be subject to disciplinary action.

## 12.B.53.e. Uniforms and Civilian Clothing

1. Members entitled to retain their uniforms after discharge may wear them from where discharged to their home within three months after discharge, a period encompassing the time between the discharge date and the date he or she arrives at home. A former member may not wear the uniform after arriving home, even though the three-month period has not expired.

2. A member shall be required to surrender all outer garments and distinctive parts of the uniform on separating from active duty as stated in the individual articles of this chapter or under any of the following conditions:

   a. The member is issued a dishonorable, bad conduct or other than honorable discharge.

   b. The member's commanding officer has reason to believe the individual will bring discredit on the uniform.

   c. The member's commanding officer believes his or her service record or the circumstances surrounding the discharge warrant surrendering the uniform.

3. Surrendered garments shall be disposed of through Lucky Bag sales.

4. If a member surrenders his or her uniform and owns no personal civilian clothing, an outfit of civilian clothing shall be furnished. The cost of such clothing shall not exceed the amount prescribed in the Comptroller Manual, Volume III, COMDTINST M4400.13 (series), Part V. Members transferred to effect their discharge take their uniform with them where ordered.

## 12.B.53.f. Veterans Rights and Benefits

1. Inform separating members of their rights and benefits as a veteran before they depart from their last duty station.

2. The more important benefits accruing to veterans under Federal legislation administered by Government agencies other than the Coast Guard are: education and training; loan guarantees; vocational rehabilitation; re-employment rights; veteran's preference in civil service; compensation and pensions; hospitalization and domiciliary care; National Service Life Insurance; Servicemen's Group Life Insurance; Veterans Group Life Insurance Unemployment Compensation; and Social Security benefits for deceased members' dependents.

3. Advise all separating members of the contents and purpose of the pamphlet “Once a Veteran,” CG-143, and be sure to give a copy to each separating member.

4. Inform all separating members about the "Ex-Serviceman’s Unemployment Compensation Act of 1958" (P.L. 85-848) which authorizes unemployment insurance protection to ex-service members who began their active service in the Armed Forces after 31 January 1955. The Department of Labor has prepared an informative pamphlet, available through the normal source of supply, about this Act’s provisions.

### 12.B.53.g. Medical Benefits

1. **When processing a member for separation, including retirement, inform separating members of the Continued Health Care Benefit Program, COMDTINST 1760.7(series).**

### 12.B.53.h. Discharge Review Board and Board to Correct Military Records

During the separation processing of any member being discharged, commanding officers will explain the purpose and scope of the Discharge Review Board and the Board for Correction of Military Records, established pursuant to 10 U.S.C. 1552 and 1553. Regulations for the Board for Correction of Military Records are found in 33 CFR 52.01 to 52.45 and the Board of Review of Discharges and Dismissals, contained in 33 CFR 51.01 to 51.10, provide:

1. The Board of Review of Discharges and Dismissals reviews a former Coast Guard member’s type and nature of discharge certificate or other documentary evidence of discharge, except discharge as the sentence of a Coast Guard court-martial. The Board conducts this review at the former member’s request or on his or her behalf, if deceased, by his or her surviving spouse, next of kin or legal representative concerned, or if incompetent, by his or her guardian.

2. The review determines whether under reasonable standards of the Coast Guard and naval law and discipline, the type and nature of the discharge should be changed, corrected, or modified, and if so, decides what change, correction or modification should be made.

3. The Board has no authority to revoke any discharge, reinstate any person in the Coast Guard after discharge, or recall any person to active duty.

4. Requests for review of a discharge must be submitted within 15 years of discharge on Application for Review of Discharge, DD-293. Request forms and information from the President, Boards of Review of Discharges and Dismissals, Commandant (**CG-122**), 2100 2nd Street, S.W., Washington, DC 20593-0001.

5. Petitions to the Board for Correction of Military Records may pertain to any matter in the member's official record the member believes is incorrect or unfair and desires to have changed. Normally, such requests must be submitted within three years of separation.

6. Using the format below, make the following entry in the member's PDR on Administrative Remarks, CG-3307, and have the member sign it.

> I have read and been counseled on the contents of Article 12.B.53., Personnel Manual, COMDTINST M1000.6 (series) about my rights on separation from the Coast Guard. I understand my rights as described there and have had all my questions answered.

## 12.B.53.i. Selective Service Registration

On 2 July 1980, Proclamation 4771 was signed into law requiring all males born during 1960 or later to register with the Selective Service System. Registration for those persons born during 1960 began 21 July 1980. For those born in 1961 registration began 28 July 1980 and for those born in 1962 registration began 5 January 1981. Males, including aliens and non-citizens, born on or after 1 January 1963 must register on the day they attain the 18th anniversary of their birth or on any day within 30 days before or after that date. The proclamation affects Coast Guard personnel as follows:

1. Coast Guard members on active duty when their age group is required to register are exempt from registration so long as they remain on active duty. Once separated from active duty or transferred to the Coast Guard Reserve for any reason, they must register within 30 days of separation.

2. Men in CONUS may register at any U.S. Postal Service Office. Members assigned duty in a foreign country can register at any U. S. Department of State Embassy or Consulate Office.

3. Commanding officers shall advise all separating males in the affected age groups of their obligation to register with the Selective Service System and then put this statement in Block 18 of DD-214: "ADVISED OF REQUIREMENTS FOR SELECTIVE SERVICE REGISTRATION."

## 12.B.53.j. Transporting Household Goods

Incident to separation or release from active duty, members (not including retirees) are allowed Government-funded transportation of household goods within six months of separation. Consult Paragraph U5360, Joint Federal Travel Regulations for more information.

## 12.B.54. Discharge Entitlements Summary

| Directive | Mileage (1) | Transport in Kind (2) | Civilian Clothing Issue (3) | Discharge Gratuity (3) | Retain Uniform, Wear Home (3) | Recoup Reenlistment Bonus (3) |
|---|---|---|---|---|---|---|
| JFTR, U5125 | X | | | | | |
| JFTR, Chap. 7, Part P | | X | | | | |
| PERSMAN, Art. 12.B.53. | | | X | | X | |
| CG Pay Manual, Para. 10.D. | | | | X | | |
| PERSMAN, Ch. 3 | | | | | | X |

1. Applies to honorable and general discharges.

2. Applies to under other than honorable conditions, bad conduct, and dishonorable discharges.

3. Applies to all types.

## *CONTENTS*

***20.A. DRUG AND ALCOHOL ABUSE***
20.A.1. Policy and Goals
20.A.2. Definitions
20.A.3. Training and Education
20.A.4. Driving Under the Influence of Intoxicants
20.A.5. Inactive Duty Reservists

***20.B. ALCOHOL ABUSE PROGRAM***
20.B.1. Responsibility
20.B.2. Guidelines on Alcohol Abuse
20.B.3. Treatment

***20.C. DRUG ABUSE PROGRAM***
20.C.1. Responsibility
20.C.2. Urinalysis
20.C.3. Drug Incident Investigations
20.C.4. Findings of a Drug Incident
20.C.5 Findings of No Drug Incident
20.C.6 Exhibits

## *CONTENTS*

***20.A. SUBSTANCE AND ALCOHOL ABUSE 1***

**20.A.1. Policy and Goals 1**
20.A.1.a. Policy 1
20.A.1.b. Goal 1
20.A.1.c. Objectives 1

**20.A.2. Definitions 1**
20.A.2.a. General 1
20.A.2.b. Alcohol Abuse 1
20.A.2.c. Alcohol Dependence 2
20.A.2.d. Alcohol Incident 2
20.A.2.e. Alcohol Screening 2
20.A.2.f. Commanding Officer 2
20.A.2.g. Drugs 3
20.A.2.h. **Drug (Substance) Abuse** 2
20.A.2.i. Drug Abuse Paraphernalia 3
20.A.2.j. Drug Dependence 3
20.A.2.k. Drug Incident 3
20.A.2.l. Random Testing 3
20.A.2.m. Urinalysis 4

**20.A.3. Training and Education 4**
20.A.3.a. Substance Abuse-Free Environment (SAFE) 4
20.A.3.b. Accession Training 4
20.A.3.c. Supervisors 4
20.A.3.d. Unit Training 4
20.A.3.e. Family Advocacy Specialist (FAS) 4
20.A.3.f. Health Promotion Manager 4

**20.A.4. Driving Under the Influence of Intoxicants 5**
20.A.4.a. Policy 5
20.A.4.b. Definition 5
20.A.4.c. Awareness Training 5
20.A.4.d. Restriction of Driving Privileges 5
20.A.4.e. Administrative and Disciplinary Actions 7

**20.A.5. Inactive Duty Reservists 8**
**20.A.5.a. Applicability 8**
**20.A.5.b. Substance Abuse 8**
**20.A.5.c. Alcohol Abuse 8**
**20.A.5.d. Special Guidelines for Disciplinary and Administrative Actions 9**

# 20.A. Substance and Alcohol Abuse

## 20.A.1. Policy and Goals

### 20.A.1.a. Policy

Substance and alcohol abuse undermine morale, mission performance, safety, and health. They will not be tolerated within the Coast Guard. Thus, drug and alcohol screening is mandated by law, (10 USC 1090), to identify, treat, and rehabilitate members of the Armed Forces who are dependent on drugs or alcohol. Furthermore, the possession, use, or distribution of a controlled substance as defined in the Uniform Code of Military Justice (UCMJ), Article 112a, and (10 USC 912a), constitutes a serious breach of discipline. Effective leadership at all levels is necessary to curb substance and alcohol abuse in the Coast Guard. Each command must be prepared to identify and eliminate substance and alcohol abuse.

### 20.A.1.b. Goal

The goal of the substance and alcohol abuse program is to enable the Coast Guard to accomplish its missions unhampered by the effects of substance and alcohol abuse.

### 20.A.1.c. Objectives

The objectives of the substance and alcohol abuse prevention programs are to:

1. Reduce the incidence of substance and alcohol abuse by Coast Guard members;

2. Detect and separate from the Coast Guard those members who abuse, traffic in, or unlawfully possess drugs; and

3. Facilitate the identification, treatment, and rehabilitation of members who are found to be chemically dependent on drugs or alcohol prior to discharge from the Coast Guard.

## 20.A.2. Definitions

### 20.A.2.a. General

These definitions apply in the substance and alcohol abuse programs. They do not change definitions in statutes, regulations, or directives concerned with personnel administration, medical care, or with the determination of misconduct and criminal or civil convictions for personal acts or omissions.

### 20.A.2.b. Alcohol Abuse

A general term for the misuse of alcohol which interferes with the user's health, safety, job performance, family life, or other required social adaptation. "Alcohol abuse" also applies to a medical diagnosis made by a physician, clinical psychologist, or a DoD or

civilian equivalent Counseling and Assistance Center (CAAC) counselor. The Health Promotions Manual, COMDTINST M6200.1 (series), or the Diagnostic and Statistical Manual of the American Psychiatric Association (DSM-IV) contain the criteria to establish a diagnosis of Alcohol Abuse (305.0). The medical diagnosis is primarily used to determine the appropriate level of treatment.

### 20.A.2.c. Alcohol Dependence

A chronic disease, sometimes referred to as alcoholism, characterized by repetitive, compulsive ingestion of alcohol which interferes with the user's health, safety, job performance, family life, or other required social adaptation. This disease process may involve increasing tolerance for alcohol. An alcohol-dependent person may experience withdrawal symptoms when he or she stops drinking. The term alcohol dependence also applies to a medical diagnosis made by a physician or clinical psychologist. The Health Promotions Manual, COMDTINST M6200.1 (series), Ch 2, or DSM-IV contains the criteria to establish a diagnosis of Alcohol Dependence (303.9). The medical diagnosis is primarily used to determine the appropriate level of treatment.

### 20.A.2.d. Alcohol Incident

1. Any behavior, in which alcohol is determined, by the commanding officer, to be a significant or causative factor, that results in the member's loss of ability to perform assigned duties, brings discredit upon the Uniformed Services, or is a violation of the Uniform Code of Military Justice, Federal, State, or local laws. The member need not be found guilty at court-martial, in a civilian court, or be awarded non-judicial punishment for the behavior to be considered an alcohol incident.

2. <u>The member must actually consume alcohol for an alcohol incident to have occurred.</u> Simply being present where alcohol is consumed does not constitute an alcohol incident. The member may be counseled on appropriate behavior or may be held jointly responsible for any damage or untoward behavior associated with the group. Purchasing alcohol for use by minors is not an alcohol incident, but does represent a serious breach of discipline and subjects the member to civil or military (UCMJ) penalties.

### 20.A.2.e. Alcohol Screening

An evaluation by a physician who has attended Addiction Orientation for Health Care Provider (AOHCP) training or who has equivalent training regarding substance abuse and chemical dependency, clinical psychologist, or a DoD or civilian equivalent CAAC counselor to determine the nature and extent of alcohol abuse. An evaluation by a Collateral Duty Alcohol Representative (CDAR) does not satisfy the screening requirement contained in this Manual.

### 20.A.2.f. Commanding Officer

As used in this chapter, "commanding officer" includes commanders, commanding officers, and officers-in-charge.

### 20.A.2.g. Drugs

Controlled substances as defined in UCMJ (10 USC 912a), Article 112a.

### 20.A.2.h. Drug (Substance) Abuse

The use of a drug or substance for other than its intended legal use. (See Article 20.A.2.k.)

### 20.A.2.i. Drug Abuse Paraphernalia

Equipment, products, and materials of any kind that are used for trafficking, supplying, injecting, ingesting, inhaling, or otherwise introducing into the human body any drug or substance in order to abuse that drug or substance.

### 20.A.2.j. Drug Dependence

A chronic disease characterized by the repetitive, compulsive use of drugs which interferes with the user's health, safety, job performance, family life, or other required social adaptation. This disease process may involve the increasing need for drugs. A drug-dependent individual may experience withdrawal symptoms when he or she stops taking drugs. "Drug dependence" also applies to a medical diagnosis made by a physician or clinical psychologist. The criteria to establish a diagnosis of Drug Dependence (304.X) can be found in the DSM-IV. The medical diagnosis is primarily used to determine the appropriate level of treatment.

### 20.A.2.k. Drug Incident

1. Any of the following conduct constitutes a drug incident as determined by the commanding officer:
   a. Intentional use of drugs;
   b. Wrongful possession of drugs;
   c. Trafficking (distribution, importing, exporting, or introduction into a military facility) of drugs;
   d. The intentional use of other substances, such as inhalants, glue, and cleaning agents, or over-the-counter (OTC), or prescription medications to obtain a "high," contrary to their intended use; or,
   e. A civil or military conviction for wrongful use, possession, or trafficking of drugs, unless rebutted by other evidence.
2. The member need not be found guilty at court-martial, in a civilian court, or be awarded NJP for the conduct to be considered a drug incident.
3. If the conduct occurs without the member's knowledge, awareness, or reasonable suspicion or is medically authorized, it does not constitute a drug incident.

### 20.A.2.l. Random Testing

Statistics of, pertaining to, or characterizing a method of statistical sample selection in which all possible samples have equal probability of selection. For further definition, refer to Article 20.C.2.b.

### 20.A.2.m. Urinalysis

The entire procedure involved in obtaining urine samples under controlled conditions, maintaining a chain of custody on each sample, and scientifically analyzing the samples to detect the presence of drugs.

## 20.A.3. Training and Education

### 20.A.3.a. Substance Abuse-Free Environment (SAFE)

Training on the dangers of substance abuse and ways to detect substance abuse problems of members and their families is essential to the effective pursuit of the goal of a substance abuse free Coast Guard. All members must be familiar with Coast Guard substance and alcohol abuse policies.

### 20.A.3.b. Accession Training

All members entering the Coast Guard, recruits, officer candidates, direct commission officers, and cadets shall have the Commandant's policies on substance and alcohol abuse explained to them during their initial training, documented by appropriate Administrative Remarks (CG-3307) entry in each member's Personnel Data Record.

### 20.A.3.c. Supervisors

Supervisors shall undergo instruction in identifying early substance and alcohol abuse symptoms, including emphasis on their responsibilities to document and provide referral and/or treatment for substance and alcohol abusers. Supervisor training is required once during a member's career, to be given at the first unit to which assigned as a supervisor, as outlined in the Health Promotions Manual, COMDTINST M6200.1 (series).

### 20.A.3.d. Unit Training

Units shall conduct annual training on the physical and psychological effects of substance and alcohol abuse, the resources available to help overcome abuse problems, and Coast Guard policy contained in this chapter.

### 20.A.3.e. Family Advocacy Specialist (FAS)

A civilian human services professional with specific training in domestic violence, child abuse and neglect, suicide, rape, sexual assault, and special needs. FASs are located Coast Guard–wide. Family advocacy specialists shall provide information on detecting and responding to substance and alcohol abuse in the family environment and the resources available when professional help is needed.

### 20.A.3.f. Health Promotion Manager

Health Promotion Managers shall provide general awareness training when visiting Coast Guard units to assist CDARs in meeting the requirements of Article 20.A.3.d.

## 20.A.4. Driving Under the Influence of Intoxicants

### 20.A.4.a. Policy

Driving privileges on Coast Guard installations are subject to suspension or restriction when a member is charged with or convicted of driving under the influence of intoxicants (DUI).

### 20.A.4.b. Definition

As used in this article, includes either one of the following.

1. Operating a motor vehicle while "Under the Influence," meaning any intoxication which is sufficient to impair the rational and full exercise of the mental or physical faculties. The substance that caused the intoxication is immaterial; or

2. Operating a motor vehicle while intoxicated to the extent that it is a violation of the law in the jurisdiction where the vehicle is operated.

### 20.A.4.c. Awareness Training

If driving privileges are suspended on a Coast Guard installation, in accordance with the procedures contained in this article, completion of an alcohol safety awareness program (Navy Alcohol and Drug Safety Awareness Program or its equivalent) is mandatory before those driving privileges are reinstated. Commands that desire to implement an expanded driving safety program or an alcohol awareness program may use a variety of government and private resources. Training resources include the National Clearinghouse for Alcohol and Drug Information, local government agencies, and private organizations such as Mothers Against Drunk Driving (MADD) and Students Against Driving Drunk (SADD). These resources are available in most locations to support motor vehicle safety and alcohol awareness programs.

### 20.A.4.d. Restriction of Driving Privileges

The procedures in this article apply to all drivers who have driving privileges on Coast Guard installations including, but not limited to, military personnel, dependents, and military retirees.

1. Commanding Officers may impose preliminary restrictions of driving privileges when a person has been lawfully apprehended by civil or military authorities for DUI.

   a. When preliminary suspensions are imposed, the Commanding Officer, or his/her designee, shall hold an informal hearing to determine the validity of the apprehension. If the hearing officer is convinced that the apprehension was invalid, the restriction should be terminated; if he/she is not convinced, it shall remain in effect.

   b. If the preliminary restriction is based upon an apprehension in which a Blood Alcohol Content (BAC) test was administered, and the BAC level meets or exceeds the federally mandated level of 0.08%, the restriction shall continue for 1 year, irrespective of the ultimate disposition of the underlying charges,

unless the disposition of the charges is based upon the invalidity of the BAC test.

2. Commands shall restrict a member's driving privileges aboard Coast Guard installations for a period of 1 (one) year after any of the following:

   a. A refusal to submit to a lawfully requested BAC test, irrespective of the ultimate disposition of the underlying intoxicated driving offense. Coast Guard officials (OODs, security personnel, etc.), when requesting a BAC test, should advise the driver that failure to submit to the test will result in an automatic 1-year restriction of driving privileges aboard the installation.

   b. A civil or military conviction, nonjudicial punishment, or civil revocation or suspension of driving privileges for DUI. In cases where the Commanding Officer has imposed a preliminary suspension based upon apprehension for DUI, the date that the preliminary restriction was imposed should be used to calculate the termination of the final suspension; or

   c. An apprehension based upon a BAC test whose level meets or exceeds 0.08%, irrespective of the ultimate disposition of the underlying charges, unless the disposition of the charges is based upon the invalidity of the BAC test.

3. Except as required per paragraph 7 below, the restriction shall involve total suspension of driving privileges.

4. Notification of restrictions shall be made in writing and acknowledged in writing by the person whose driving privileges have been restricted. A copy of the notification and acknowledgement shall be placed in the Personnel Data Record (PDR) and a copy mailed to Commandant **(CGPC-adm-3)** for inclusion in the member's headquarters PDR. In situations where the facts of the case warrant it (such as previous incidents of DUI or violation of a restriction of driving privileges), Commanding Officers shall restrict driving privileges for 2 years.

5. Restrictions shall apply only to the offender. Family members and others who are non-offenders are still permitted to operate vehicles on the installation. Normally, vehicle registration decals should not be removed.

6. When restrictions are imposed, the name of the individual, the period of suspension, and a description of vehicles owned, including vehicle registration decal numbers, shall be furnished to all other Armed Forces facilities in the local area. When a Coast Guard member is transferred to a new duty station, the Commanding Officer shall notify the new Commanding Officer of the restriction. The new Commanding Officer will continue any remaining portion of the restriction and so notify other Armed Forces facilities in the new local area.

7. In situations where total suspension of driving privileges would significantly hamper mission performance or cause unusual personal or family hardship or safety concerns, the Commanding Officer may grant restricted driving privileges. When these restricted driving privileges are granted, they shall be clearly specified in writing and acknowledged by the person being granted the privileges. This does not authorize a person to drive on a Coast Guard installation if the person's driver's license is under suspension or revocation by a local, State, Federal, or host country civil court or administrative agency.

8. A person whose driving privileges have been restricted may appeal the restriction in writing, via the chain of command, to the commander of the appropriate district or maintenance and logistics command. Restrictions initiated at Headquarters units may be appealed to Commandant (**CG-12**).

### 20.A.4.e. Administrative and Disciplinary Actions

1. Commanding Officers are responsible for conducting adequate inquiries into incidents of alleged DUI, and for taking remedial action, if necessary, in accordance with this article.

2. Those personnel who are convicted in the civilian or military courts, receive non- judicial punishment, or have a civil revocation/suspension of driving privileges for DUI or other offenses meeting the definition of an alcohol incident, shall be referred for medical screening per 20.B **or Article 20.A.5 for inactive duty reservists.**

3. Reports and documentation required when Coast Guard military personnel are involved with a DUI.

   a. Report of Civil Arrest: A report of civil arrest and subsequent civil action is required for all military members in accordance with Chapter 8.

   b. Notification of Restriction: A notification of restriction must be made and acknowledged in writing whenever a person's driving privileges are restricted. This notification must meet the requirements in Article 20.A.4.d.4.

   c. Performance Evaluations:

      (1) Enlisted Members: A special Enlisted Performance Evaluation to reflect a civil conviction, a military conviction, or the award of non-judicial punishment for occurrences of DUI is required by Section 10.B. Alcohol incidents must also be documented in the member's PDR per Article 20.B.2.

      (2) Officers: Officer Evaluation Reports should reflect occurrences of DUI (Chapter 10). Alcohol incidents involving officers shall be documented

by **memorandum** with a copy to Commandant (CGPC-opm) **for ADPL officers, or Commander (CGPC-rpm) for IDPL officers**.

## 20.A.5. Inactive Duty Reservists

**This section establishes policies and specific procedures for administering the Substance and Alcohol Abuse Program within the Coast Guard Reserve. The policies elsewhere in this chapter apply equally to reservists, except as outlined below.**

### 20.A.5.a. Applicability

**This section applies to members of the Ready Reserve, regardless of their status at the time of the abuse, and reservists on active duty 30 consecutive days or less. Reservists serving on active duty more than 30 consecutive days are subject to the same policies prescribed for the active duty component.**

### 20.A.5.b. Substance Abuse

1. **Reservists who are determined to have been involved in a drug incident, as defined in Article 20.C.3, or through civilian law enforcement apprehension, arrest, conviction, or other evidence are normally processed for separation.**

2. **Commanding officers who make a finding of no drug incident will comply with Article 20.C.5.**

### 20.A.5.c. Alcohol Abuse

1. **Any reservist involved in an alcohol incident or who otherwise shows signs of alcohol abuse will be counseled by their commanding officer within 14 calendar days, or by the close of their next drill session. If counseling in person cannot occur within 14 days, the commanding officer must counsel the member via certified mail with return receipt. During the counseling, the member will be informed that they must:**

   a. **arrange for screening by an individual who meets the qualifications of Article 20.A.2.e no more than 14 calendar days following the initial unit counseling or receipt of certified letter;**

   b. **sign a consent statement for release of treatment information, which allows treatment personnel to share necessary information with the commanding officer or designee. Members must request that treatment personnel provide written monthly updates to the commanding officer;**

**c. acknowledge the Government will not provide transportation or any clinical services, to include screening, assessment, rehabilitation, treatment and aftercare; and,**

**d. acknowledge that failure to seek counseling and treatment, refusal to sign their consent to release information, failure to participate and complete rehabilitation successfully and failure to maintain sobriety may result in administrative separation.**

**2. All elements of the Substance and Alcohol Abuse Program, except regularly scheduled unit training, are at the member's expense, not subject to reimbursement. Reservists subject to this Article are not authorized pay or retirement points for undergoing any clinical service or aftercare, except for regularly scheduled unit training.**

**3. A qualified screener, as defined in Article 20.A.2.e., may refer a reservist to an early intervention program (e.g., Coast Guard or U.S. Navy SAFE IMPACT course) after a screening with no diagnosis.**

**4. A reservist diagnosed to be alcohol dependent shall be ordered to seek appropriate treatment through a community-based, State-accredited counseling and rehabilitation program from civilian sources. Commanding Officers will provide members with a list of State-certified or otherwise Commandant (CG-11) approved programs within a reasonable commuting distance of the member's residence.**

**5. If a level of treatment precludes a member's satisfactory participation in the Ready Reserve, refer to the compliance measure outlined in the Reserve Policy Manual, COMDTINST M1001.28 (series), Chapter 4.B.2.**

**6. Failure to comply with an ordered treatment or aftercare plan or failure to successfully complete those plans constitutes grounds for administrative separation in accordance with Chapter 12. Reservists diagnosed to be alcohol dependent who have successfully completed an aftercare program and who do not maintain sobriety will be screened in accordance with this section and Article 20.B.2.1.**

**7. Reservists have no specific entitlement to treatment incident to administrative separation. An alcohol or drug dependency determination is not required as part of the separation process.**

### 20.A.5.d. Special Guidelines for Disciplinary and Administrative Actions

**1. Reservists are subject to the UCMJ only while performing inactive or active duty. A reservist alleged to have committed a UCMJ violation while on inactive or active duty is subject to non-judicial punishment and court-martial jurisdiction without regard to any change in the member's reserve status subsequent to the commission of the offense.**

2. **The Coast Guard may impose administrative measures on reservists, regardless of the reserve status, for substance and alcohol abuse identified through civilian law enforcement apprehension, arrest, or conviction, or through other means. These measures include, but are not limited to suspension of driving privileges (Article 20.A.4), performance evaluations, separation, etc.**

### 20.B.2.c. Self-Referral to Alcohol Treatment

Self-referral to alcohol treatment, by itself, is not considered an alcohol incident. The documentation of screening and treatment of members who self-refer shall be handled in accordance with the provisions of Article 20.B.2.e.

### 20.B.2.d. Alcohol-Related Situations

An alcohol-related situation is defined as any situation in which alcohol was involved or present but was not considered a causative factor for a member's undesirable behavior or performance. A member does not have to consume alcohol to meet this criterion, e.g., purchasing alcohol for minors. Commands shall not use the term "alcohol related situations" when a member's behavior clearly meets the criteria of an "alcohol incident." Members involved in alcohol related situations shall be counseled on their use of alcohol and informed of the conduct expected of Coast Guard members. Commanding officers are strongly encouraged to consider whether screening and/or alcohol awareness training such as IMPACT is appropriate. Commanding officers shall document such occurrences with an appropriate Administrative Remarks (CG- 3307) entry in the member's Personnel Data Record (PDR). Documentation of alcohol related situations provides commands with significant background information for determining whether any administrative or medical action is necessary.

### 20.B.2.e. Alcohol Screening

1. Any member who has been involved in an alcohol incident or otherwise shown signs of alcohol abuse shall be screened in accordance with the procedures outlined in the Coast Guard Health Promotion Manual, COMDTINST M6200.1 (series), Ch 2, **or in Article 20.A.5. for inactive duty reservists.** The results of this alcohol screening shall be recorded and acknowledged on a CG-3307 entry or letter, as appropriate, in the member's PDR with a copy to Commander (CGPC-epm) or (CGPC-opm), as appropriate, and (CGPC-adm-3). The entry shall describe the facts of the incident or risk factors, the results of alcohol screening, the position and organization of the individual conducting the screening, and a statement of the treatment recommended, if any.

2. Members who self-refer for alcohol abuse. Unless there is an associated alcohol incident, the member may request removal of the screening letter and treatment plan from his or her Personnel Data Record after successfully completing the prescribed aftercare. A permanent record of the screening and treatment will be kept only in the member's Health Record in accordance with the Coast Guard Health Promotion Manual, COMDTINST M6200.1 (series).

### 20.B.2.f. Members E-2 and Below With More Than Two Years Of Coast Guard Service

Following one alcohol incident, enlisted members who have not advanced beyond pay grade E-2 and have more than two years of Coast Guard service shall normally be separated by reason of unsuitability due to alcohol abuse under Article 12.B.16. In cases in which the commanding officer believes an exceptional situation warrants consideration for retention, the commanding officer shall send a letter requesting retention and treatment (when recommended), including the screening results, treatment plan, and commanding officer's recommendation concerning treatment via the chain of

command to Commander (CGPC-epm) who shall consult with Commandant (**CG-11**) and direct the appropriate action regarding retention. The command recommendation will be submitted as a cover letter to the required discharge package described in Article 12.B.16.j. If Commander (CGPC-epm) directs retention, commanding officers will ensure that the following counseling is conducted and that it is recorded and acknowledged by a CG-3307 entry in the member's PDR.

1. The member shall be counseled on Coast Guard policy on alcohol abuse contained in this article.
2. The member shall be advised that another alcohol incident, at any future time in the member's career, will normally result in discharge.

### 20.B.2.g. First Alcohol Incident

The first time a member is involved in an alcohol incident, except those described in Article 20.B.2.f., the commanding officer shall ensure this counseling is conducted; for enlisted members recorded on a CG-3307 entry in the member's PDR; acknowledged by the member; and a copy sent to Commander (CGPC-epm) and (CGPC-adm-3). For officers the record of counseling shall be by letter with copy to Commander (CGPC-opm) and (CGPC-adm-3). This entry is in addition to that required by Article 20.B.2.e.

1. The member shall be counseled on Coast Guard policy on alcohol abuse contained in this article.
2. Officers and chief warrant officers shall be advised that an additional alcohol incident will result in their being processed for separation under Chapter12.A of this manual. Enlisted members will be advised an additional incident normally will result in discharge and, a statement shall be made that the member has been involved in his or her first alcohol incident and a subsequent incident normally will result in separation action.
3. If the incident involves underage consumption, the CG-3307 shall also state the circumstances of the incident and whether the consumption affected the member’s ability to perform assigned duties or brought discredit upon the Uniformed Services (See Article 20.B.2.j.).

### 20.B.2.h. Second Alcohol Incident

1. Officers will be processed for separation following a second alcohol incident.
   a. Regular commissioned officers shall be processed in accordance with Article**s** 12.A.11., 12.A.12., or 12.A.15., depending upon length of commissioned service.
   b. Reserve officers on extended active duty shall be processed in accordance with Article 12.A.9. **All other reserve officers** shall be processed by **Commander (CGPC-rpm)** in accordance with Article 12.A.9, pursuant to the Reserve Policy Manual, COMDTINST M1001.28 (series).
   c. Chief warrant officers shall be processed in accordance with Article 12.A.21.

## *CONTENTS*

***20.C. SUBSTANCE ABUSE PREVENTION PROGRAM*** ***1***

**20.C.1. RESPONSIBILITY**
20.C.1.a. General 1
20.C.1.b. Commandant 1
20.C.1.c. Major Commands 1
20.C.1.d. Commanding Officers 1
20.C.1.e. Urinalysis Coordinators and Observers 1
20.C.1.f. Advice 2

**20.C.2. URINALYSIS**
20.C.2.a. General 2
20.C.2.b. Random Testing and Suggested Procedures 5
20.C.2.c. Collecting Urine Specimens 6
20.C.2.d. Member Located at Other Than Coast Guard Commands 8
20.C.2.e. Preparation of DD Form 2624, Specimen Custody Document - Drug Testing 8
20.C.2.f. Preparation of Labels for Urine Specimen Bottles 9
20.C.2.g. How to make Corrections 10
20.C.2.h. Preparation of Urinalysis Ledgers 10
20.C.2.i. Sample Adulteration, Substitution, and Dilution 12
20.C.2.j. Procedures for Steroid Testing 13
20.C.2.k. Safe Storage of Specimens 14
20.C.2.l. Packing and Mailing Requirements 15
20.C.2.m. Laboratory Processing Procedures 17

**20.C.3. DRUG INCIDENT INVESTIGATIONS**
20.C.3.a. General 18
20.C.3.b. Supporting Documentation and Expert Witness 18
20.C.3.c. Legal Rights 19
20.C.3.d. Determining a Drug Incident 19
20.C.3.e. Preponderance of Evidence Standard 19

**20.C.4. FINDINGS OF A DRUG INCIDENT** 20

**20.C.5. FINDINGS OF NO DRUG INCIDENT** 20

**20.C.6. EXHIBITS**
Exhibit 20.C.1. List of Major Commands 21
Exhibit 20.C.2. List of Urinalysis Supplies 22
Exhibit 20.C.3. Sample Urinalysis Ledger 23
Exhibit 20.C.4. Urinalysis Checklist 25
Exhibit 20.C.5. Sample of DD Form 2624 (Front) 27
Exhibit 20.C.5. Sample of DD Form 2624 (Back) 27
Exhibit 20.C.6. Drug Cut-Off Level 28
Exhibit 20.C.7. Discrepancy Codes 28

# 20.C. Substance Abuse Prevention Program

## 20.C.1. Responsibility

### 20.C.1.a. General

Intentional use of illegal drugs including ingestion of hemp oil or products made with hemp oil is misconduct that will not be tolerated in the Coast Guard. Coast Guard members are expected not only to comply with the law and not use illegal drugs, but also, as members of a law enforcement agency, to maintain a life-style which neither condones substance abuse by others nor exposes the service member to accidental intake of illegal drugs. Units shall conduct random urinalysis tests throughout the fiscal year on a consistent basis. **For example, conduct testing monthly, even though the summer months are difficult due to transfer. Commands should be cognizant that testing at the end of September may count for the next fiscal year.** (See Article 20.A.2.k. for definition of a drug incident.)

### 20.C.1.b. Commandant

Chief, Policy and Standards Division, Commandant (**CG-1221**) is responsible for administering and monitoring the Coast Guard Military Drug Testing Program. Units should first contact their major command urinalysis coordinators for information before contacting Commandant (**CG-1221**).

### 20.C.1.c. Major Commands

Every Coast Guard unit is under the cognizance of one of the major commands listed in Exhibit 20.C.1 for purposes of yearly allocations, supplies, and program administration. Units that fall under these commands must use their major command's Base Area Code (BAC). Questions concerning which major command is in charge of any particular unit may be directed to Commandant (**CG-1221**).

### 20.C.1.d. Commanding Officers

Commanding officers are responsible for ensuring their unit's compliance with the Coast Guard's Drug Abuse Program. Commanding officers shall investigate all incidents or circumstances in which the use or possession of drugs appears to be a factor, and take appropriate administrative and disciplinary action.

### 20.C.1.e. Urinalysis Coordinators and Observers

1. Urinalysis coordinators and observers shall be designated in writing by the commanding officer in their command administration list. The coordinator shall be responsible for maintenance and administration of the command urinalysis program including the training of alternate coordinators and observers and the shipment of uncompromised specimens to **Tripler Army Medical Center FTDTL**. Urinalysis coordinators shall supervise all specimen collections and make all urinalysis ledger entries.

2. Commands are encouraged to use an alternate coordinator to assist in urinalysis procedures. An alternate provides additional confirmation that proper procedures are followed, which is critical in a court-martial or administrative proceeding. Although there is no limit on the number of alternate coordinators, commands shall use discretion in appointing them. Normally, only one alternate coordinator should have access to the urinalysis ledger and specimen collection materials.

3. Under no circumstances shall the command urinalysis coordinators and observers provide their own samples for inclusion in the same batch when conducting urinalysis. If the command requires the coordinators and observers to be tested (e.g, unit sweep), an alternate coordinator or coordinator from another command shall be used. Limit access to the urinalysis ledger and specimen collection materials to the commanding officer, executive officer, primary urinalysis coordinator, and alternate urinalysis coordinator(s) when such access is necessary.

4. Observers shall be of the same gender as the members providing specimens. Using senior personnel as observer avoids intimidation, adds credibility, and shows leadership support for drug testing program. Also, observers may be required to testify at an administrative hearing or at a court-martial. This is often too much of a responsibility to place on junior enlisted members.

5. Do not send letters of designation for coordinators and observers to Commandant **(CG-1221).**

### 20.C.1.f. Advice

Commander (CGPC-epm-1) or (CGPC-opm-1) can provide advice in processing administrative actions regarding drug abuse cases. Questions concerning interpretation of test results should be referred to the screening laboratory.

## 20.C.2. Urinalysis

### 20.C.2.a. General

Urinalysis is a means to deter and detect drug abuse and may be conducted under the following circumstances. Refer to the Military Rules of Evidence, Part III, of the Manual for Courts- Martial (series).

1. Administrative Inspections. The primary purposes of administrative inspections are to determine and maintain the unit's security, military fitness, and good order and discipline. Inspections using urinalysis are permitted under Military Rule of Evidence 313. The consent of the member is not required to collect a specimen under an administrative inspection. The scope of the inspection may include all personnel of the unit or only a part of the unit; e.g., a duty section, a division, the occupants of a building, etc., provided that part of the unit includes enough members so the inspection could not be viewed as focusing on a particular individual or small group of individuals. Reservists serving on ADSW-AC or ADSW-RC at an active service unit are subject to the same

random selection for administrative inspections as their active service counterparts. Selecting individuals for an administrative inspection is not permissible unless they are selected by a truly random selection system. An administrative inspection shall not be a subterfuge for conducting a search with less than probable cause.

2. Consent. Urinalysis may be conducted at any time and for any reason if the member voluntarily consents to the procedure. Obtain such consent in writing. Prior to requesting consent, the member should be advised that he or she may decline to provide a specimen. Military Rule of Evidence 314(e).

3. Probable Cause. A member may be ordered to submit a urine specimen if there is probable cause to believe the member has used an illegal drug recently and a urinalysis test will produce evidence of such offense. A search authorization must first be obtained pursuant to Military Rules of Evidence 312, 315, and 316. Section 7.C., Military Justice Manual, COMDTINST M5810.1 (series).

4. Valid Medical Purpose. Urinalysis may be directed by qualified medical personnel for diagnostic or treatment purposes to preserve a member's health. Military Rule of Evidence 312(f). Follow-up tests to confirm a diagnosis or to monitor a condition are included in this category. Urinalysis directed by a commanding officer does not fall within this subsection.

5. Evaluation Testing. Evaluation testing may be conducted when a member's urine specimen is reported as confirmed positive for the presence of drugs, but the commanding officer, having evaluated all the available information, remains doubtful whether the member has used drugs wrongfully. The commanding officer may order evaluation testing to be conducted for a period of two to six months' duration within which no more than 16 specimens may be taken ; e.g., two specimens per week for eight weeks; one specimen per week for 16 weeks; or up to 16 total specimens collected over a six-month period at irregular intervals. When a commanding officer orders evaluation testing, the original positive urinalysis result may still be used as a basis for disciplinary action under the UCMJ, administrative separation, and characterization of discharge depending on the basis for ordering the original test; e.g., probable cause, administrative inspection, consent or competence- for- duty test ( Article 20.C.2.a.8). The results of the evaluation testing may be used as a basis for administrative separation. Positive test results from evaluation testing may not be used for disciplinary action under the UCMJ, nor may such results be used to characterize a discharge in separation proceedings. However, while undergoing evaluation testing, members remain subject to command-ordered testing conducted on other lawful grounds, such as administrative inspections. Depending on the basis for such other testing, the positive results from that testing may be used for any purpose, including disciplinary action under the UCMJ, administrative separation, and characterization of discharge in administrative separation proceedings. **For evaluation testing, utilize Administrative Remarks (CG-3307) (P&D 6) for documentation purposes.**

6. Urinalysis Conducted in Conjunction with Training. Personnel undergoing training are subject to administrative inspections using urinalysis. Therefore, all personnel will be subject to random testing throughout their assignment at a Coast Guard training command. In addition, training commands will conduct accession testing as follows:

   a. Cadets, Officer Candidates, and Direct Commission Officers. Cadets, officer candidates and direct commission officers will be tested within three days after reporting to the Coast Guard Academy.

   b. Recruits. Recruits will be tested within three days after reporting to Training Center Cape May, NJ.

   c. School students are subject to random testing at the training command in the same manner as permanent members. The average number of students estimated on board will be used in computing annual testing allocations. "C" School students will not be computed in this total, but remain subject to random testing.

7. Urinalysis of Prior Service Members Upon Return to Active Duty. All personnel who report to active duty, either active duty or selected reserve, and who have a break in service of more than six months will be tested within three days of arrival at their first duty station. For those personnel with a break in service of six months or less, testing upon arrival at their first duty station shall be at the discretion of the unit's commanding officer.

8. Competence-for-Duty Tests. The purpose for this test is to determine whether a member is fit for duty. A commanding officer should order a urinalysis test of a specific member when the member has been involved in a mishap or when there is reasonable suspicion (see below) of drug abuse and a urinalysis test has not been conducted on a consensual or probable cause basis. Competence-for-duty urinalysis tests shall be ordered by a member's commanding officer. The authority to order a competence-for-duty urinalysis test may be delegated to an executive officer or command duty officer. Results obtained from competence-for-duty urinalysis testing may be used to refer a member for administrative discharge action. However, results may not be used against the member in any disciplinary action under the UCMJ, nor may they be used on the issue of characterization of discharge in separation proceedings. Subject to the Military Rules of Evidence, results may be used for impeachment or rebuttal in any court-martial proceeding.

   a. After Mishaps**.** Urine specimens, along with blood or breath specimens or both, will be collected from all personnel involved in a mishap in accordance with the Safety and Environmental Health Manual, COMDTINST M5100.47 (series). Results from after-mishap testing may be used in administrative separation proceedings after Commandant (**CG-11**) and (G-L) approval in accordance with the COMDTINST M5100.47 (series). A mishap, as defined in COMDTINST M5100.47 (series), is any

unplanned, unexpected or undesirable event causing injury, occupational illness, death, or material loss or damage. These urine and blood specimens will normally be tested by the Armed Forces Institute of Pathology.

b. Reasonable Suspicion. Reasonable suspicion is a less demanding standard than probable cause and is defined as something more than a vague suspicion or hunch. Reasonable suspicion requires a minimal level of justification and can arise from information less reliable than that required to show probable cause. Commanding officers should evaluate the totality of the circumstances in determining whether reasonable suspicion exists to believe a member may have used drugs. Unusual behavior or conduct that a commanding officer should consider may include, for example, unauthorized absences, violations of safety requirements, disobedience of direct orders, apprehension or investigation for drug offenses or intoxicated driving, involvement in crimes of violence, reckless operation of equipment, involvement in a serious incident or accident in which unusually careless acts were performed, or other incidents involving serious breaches of discipline. While an instance of unusual behavior or conduct alone is not necessarily sufficient by itself to constitute reasonable suspicion, such behavior or conduct should be considered within the totality of the circumstances.

## 20.C.2.b. Random Testing and Suggested Procedures

Random testing is a method of statistical specimen selection in which all possible specimens have equal probability of selection. The purpose of random selection is to provide all members the same probability of participation in the drug testing program. Thus, the following suggested means of developing a random selection are recommended. This is not an all-inclusive list and commands may use other methods if they offer the same degree of randomness. Whatever method is selected, it should be used consistently, not shifting from method to method over the year.

1. Computer generated selection: Program the standard workstation to draw, through a random number generation program, the desired number of tests from a listing of all members of the command. The use of DOD Drug Testing Program (DTP) software is authorized and is highly recommended. This software enable the commands to randomly select personnel with features such as importing of service members' data from a database, printing generated bar coded Specimen Custody Document (DD 2624), printing generated bar coded bottle labels, printing of unit ledger and printing mailing labels. It also has a personnel tracking system which permits identification of who shows up for testing, subsequently test random testing no-shows, and recording of laboratory results thereby increasing the efficiency and effectiveness of command urinalysis program. The DOD Drug Testing Program software can be downloaded from http://www.ftdtl.amedd.army.mil/dtphome.

2. Number from a jar: Put pieces of paper numbered zero to nine in a jar. Test the members whose social security number ends with the number that is picked.

3. Selection by organizational level within an OPFAC unit: Select a division, branch, or department from an OPFAC unit, using a computer generated or jar selection method. The entire division, branch or department selected must be tested, from most senior to most junior person.

### 20.C.2.c. Collecting Urine Specimens

Proper collection of urine sample is the key to a successful urinalysis program. Poor collection procedures, such as samples provided without direct observation or a break in the chain of custody of the samples, can result in dismissed court-martial proceedings. The following procedures must be followed:

1. Have the member report to the coordinator with his/her ID card on hand. If the member does not have his/her military ID card, a current driver's license or other picture ID may be used.

2. The coordinator initiates the Unit Urinalysis Ledger and will record the member's name, rank, test basis, social security number and enters the document/batch and specimen number.

3. Advise the member to note all prescription and over-the-counter drugs they are currently taking. They may refer to dated entries in official health records if the information is recorded. Members also should provide the local health facility that maintains their health record with copies of any prescriptions they receive from another clinic. If the member is taking or has taken any prescription drugs in the last two weeks or has had a dental procedure within the past 72 hours, the coordinator will record in the remarks block of the ledger.

4. The coordinator will initiate the bottle label. Record the date and the member's social security number on the bottle label.

5. The member will verify to the coordinator that the information on the ledger and bottle label is correct.

6. The member will sign the ledger and initial the bottle label documenting his/her name, social security number, batch/document number, rank, and date are correct on the ledger and his/her social security number and date are correct on the label. This will be accomplished prior to the label being affixed to the specimen bottle.

7. The coordinator will remove an empty bottle from the box in front of the member. The coordinator will remove the cap, verify with member and observer that the bottle is clean and that there is no foreign matter in the bottle, and recap the bottle in full view of the member and observer.

8. The coordinator will place the member's ID card in the same slot from which the bottle was removed in step 7.

9. The coordinator then will attach the label to the specimen bottle in full view of

the member and observer.

10. The coordinator will give the specimen bottle to the member in the presence of the observer.

11. The observer ensures that he/she has full view of the specimen bottle at all times. The member will maintain custody of the specimen bottle from the time the coordinator gives him/her the bottle until it is filled and capped. If the custody is broken, the member/observer will inform the coordinator and the process will be terminated. The coordinator will void the specimen and destroy the specimen bottle. The member will begin the process again.

12. The observer shall escort the member from the coordinator's table to the head or collection point. Male observers should ensure that male members use only the urinal, and female observers should ensure that the stall door is kept open for female members. The observer must stand in a position to clearly view the urine actually entering the sample bottle. If wide-mouth containers are used for females, the observer shall view the individual pouring the sample from the wide-mouth container into the urine specimen bottle. The individual must provide at least 30 milliliters (just over quarter of a bottle) of urine and then cap the bottle.

    a. If a member claims to be unable to submit a specimen, or submits less than the 30 milliliter minimum, it is permissible to require the member to remain in a controlled area under observation and drink fluids normally consumed during daily activity (e.g. coffee, water, soda) until the member produces a specimen or the balance of an incomplete specimen. The unit coordinator will maintain custody of any incomplete specimen until the member can provide the balance of the specimen in the same bottle. If an incomplete sample is left unattended, discard it; the member must provide a new sample. A member will not be released from duty until a specimen has been properly provided or as directed by the command authority.

    b. If a member refuses to provide a specimen, notify the appropriate command authority. The member's chain of command should direct the member to provide a specimen. If the member then refuses, it will be a violation of a direct order. Violation of a lawful order is subject to disciplinary action under the Uniformed Code of Military Justice. Possible actions include court martial proceedings and processing for separation.

13. The observer shall then accompany the member back to the coordinator's table. Members delivering specimens to coordinators will not be expected to stand in line with urine specimens in public view (in view of personnel other than the observer and coordinator). Members' personal privacy will be maintained to the maximum extent practical.

14. The observer shall not handle the urine specimen bottle unless he or she is also the unit coordinator. This procedure is not recommended unless the unit coordinator maintains positive custody of all specimens while observing (e.g., small unit). The observer will sign the urinalysis ledger, certifying that the urine

specimen bottle contains urine provided by the member and was not contaminated or altered in any way.

15. The coordinator shall receive the urine specimen bottle from the member and ensure that it contains a minimum volume of 30 milliliters and is not reopened. The urine specimen bottle holds a maximum of 100 milliliters. Submitting less than the minimum quantity may result in the inability to confirm the preliminary test or preclude retesting.

16. The coordinator will initial the urine specimen bottle label in the member's presence and transcribe the information to DD Form 2624, Urine Specimen Custody Document (USCD). Exhibit 20.C.3 is an example of a completed USCD. Coordinators may prepare USCD forms and bottle labels in advance; if so, they must verify that the information on the label and the USCD match. Using word processing equipment with the merge feature is encouraged to reduce the possibility of incorrect transcription of numbers. On collecting all specimens, the coordinator shall sign and date block 12(b) of the USCD(s).

17. Tamper-resistant tape is required on all specimens collected. Any substitute tape must be the same width and length as the stock tape. Apply the tape by fixing one end of it near the label; pull the tape directly across the widest part of the cap and down the opposite side of the urine specimen bottle. Either the coordinator or the member in the presence of the coordinator may seal the bottle.

### 20.C.2.d. Member Located at Other Than Coast Guard Commands

Coast Guard members assigned to a DOD command are subject to the urinalysis program of that Service. If a Coast Guard member's urine specimen is reported positive, that DOD command should immediately notify the member's cognizant program manager who will, in turn, follow the procedures outlined in Articles 20.C.3. through 20.C.5. The Coast Guard is responsible for investigation and determination of a drug incident, as well as any administrative or disciplinary action under the procedures outlined in Articles 20.C.3. through 20.C.5.

### 20.C.2.e. Preparation of DD Form 2624, Specimen Custody Document – Drug Testing

The original DD Form 2624 is the only document authorized for use in submission of urine specimens to the laboratory. This form must be completed with extreme care and accuracy. It is a single sheet two-sided document. Two sheets stapled together are not acceptable, and the specimen will not be tested. The most common errors that result in the sample being rejected for testing are: non-matching social security numbers, incomplete social security numbers, and improperly making corrections**.** Do not slash zeros. If some zeros are slashed and others are not, it may be taken as an error and/or an improper correction. The following steps will be followed in filling out the DD Form 2624:

| | |
|---|---|
| **Block 1** | Submitting unit. Enter complete address of submitting unit. |
| **Block 2** | Additional Service Information. Enter the unit's major command (see Exhibit 20.C.5). Enter the unit urinalysis coordinator's name and phone number. |
| **Block 3.** | Base/Area Code (BAC). Enter unit BAC. Every Coast Guard unit is under the cognizance of a major command for purposes of yearly allocations, supplies and urinalysis program administration. Subordinate units shall use their major command's BAC. |
| **Block 4.** | Unit Identification Code. Enter a "T" then followed by unit identification code (Example: T 13420). |
| **Block 5.** | Document/Batch Number. Document/batch numbers are assigned locally. This can be any combination of letters and numbers desired by the unit to keep track of their batches. |
| **Block 6.** | Date specimen collected (Example: 2000 07 01). Ensure this matches the date on the label. |
| **Block 7.** | Specimen Number. Use the number pre-printed on the form. Do not change the number |
| **Block 8.** | Complete SSN. Enter the complete social security number (SSN) of member providing the sample. The SSN must be legible and match the SSN on the bottle label and ledger. Do not overwrite digits. If a mistake is made, line through the mistake, make the correct entry, date, and initial. |
| **Block 9.** | Test Basis. Enter appropriate testing premise identifier (Example: IR, IU, PO, etc.) This information can be found in paragraph 20.C.2.h.1.f below. |
| **Block 10.** | Test information. Enter "A" for E-4 and below or "B" for E-5 and above. |
| **Block 11.** | Leave blank. |
| **Block 12A.** | Enter date of sample collection. |
| **Block 12B.** | Type or print the name of urinalysis coordinator and sign above it. |
| **Block 12C** | Indicate the mode of conveyance such as "U.S. Postal Service" or "Federal Express." |
| **Block 12D.** | Enter "Transport to TAMC FTDTL." |

**NOTE: If one of the specimens on the sheet tests positive all the paperwork relating to the POSITIVE (including the DD Form 2624) is kept for the current year plus three additional years. If all are NEGATIVE, the paperwork is kept for current year plus one additional year.**

### 20.C.2.f. Preparation of Labels for Urine Specimen Bottles

1. Use only black ballpoint pens. Record this information on each gum label:

   a. Date of collection.

   b. Base Area Code/Unit Identification Code (e.g. CG01-75130).

   c. Member's social security number.

   d. Member's initials (submitter's full name is not permitted on the bottle).

e. Observer's initials.

f. Coordinator's initials.

2. Affix unit-generated gum labels (address type) directly to each urine specimen bottle. The label may be placed before the bottle is given to the member.

| | |
|---|---|
| **Date: _____** | **BAC/UIC: _____** |
| **Member's SSN: _____** | **Member's Initial _____** |
| **Observer's Initial _____** | **Coordinator's Initial _____** |

## 20.C.2.g. How to make Corrections

1. Only the person making the error can make corrections on the DD Form 2624 or bottle label. Corrections will be made as follows:

   a. Line (draw a single line) through the faulty information.

   b. Write the correct information directly above the faulty information. Do not write over any number or letter.

   c. Place initials and date close to the line through.

2. If corrections cannot neatly be made on the DD Form 2624 or the label by the individual who made the error, a memorandum of correction should be used to correct and verify the process.

   a. The memo shall note the faulty information as it now reads and the correct information as it should read.

   b. The memo shall be signed and dated by the coordinator and verified by the commanding officer or his/her representative.

   c. The memo will not be used to make corrections on the Unit Urinalysis Ledger.

   d. The memo shall be sent with the sample to the testing facility.

## 20.C.2.h. Preparation of Urinalysis Ledger

1. Commands shall maintain a urinalysis ledger documenting all urine specimens collected. Do not send a copy of the ledger to the laboratory. Retain the ledger at the command for two years from the date of the last entry. Urinalysis ledgers are Privacy Act material; destroy them by burning, shredding, or pulverizing, as appropriate. Exhibit 20.C.3 provides a sample urinalysis ledger. The ledger shall

contain this identifying information (do not use ditto (") marks):

a. Name of unit.

b. Name of urinalysis coordinator and phone number.

c. Date specimen collected.

d. Time specimen collected.

e. Batch number (a unit-derived, four-digit number assigned to each batch of 12 specimens or portion thereof).

f. Specimen number (same as Block 7 of DD Form 2624 unless the unit will submit more than 12 specimens; a unit predetermined, two-digit sequential number then may be assigned to each individual batch specimen).

g. Testing premise identifier (TPI). The following testing premise codes are the only codes authorized to be used:

| **INSPECTIONS:** | **MEDICAL EXAMINATION:** |
|---|---|
| IR – Random Samples<br>IU – Unit Sweep<br>IO – Unit Inspection (general) | MO – Medical Examination |
| | **SEARCH OR SEIZURE:** |
| **FITNESS FOR DUTY:** | VO – Consent Testing<br>PO – Probable Cause |
| CO – Command Directed<br>AO – Mishap Investigation<br>RO – Rehabilitation | **OTHER:** |
| | NO – Entrance testing<br>OO – Evaluation testing |

h. Member's social security number (use all digits).

i. Tested member's signature and printed name.

j. Remarks/Medications. Remarks, including any prescription or over-the-counter drugs the member presently takes. Reference to a dated entry in the member's medical record will suffice, if the information has been recorded.

k. Signature and printed name of observer.

l. Privacy Act statement, as included in the urinalysis ledger (Exhibit 20.C.3).

m. Upon a unit's permanent closure, urinalysis ledgers should be sent to the unit that has administrative control over the closed unit, for eventual destruction.

## 20.C.2.i. Sample Adulteration, Substitution, and Dilution

1. Drug abusers have a variety of methods for cheating on urinalysis. Most of these can be prevented or detected by direct observation, unannounced test times/dates, and use of senior personnel as coordinators and observers.

   a. One method of cheating is adulteration; altering the specimen to mask the drug content. This has been tried by ingesting an acidic substance such as vinegar to increase the rate of excretion from the body. Sometimes substances such as commercial cleaners (ammonia and bleach) have been added to a sample. Direct observation by the observer can prevent adulteration attempts. Also, adulterated specimens should be detected by the coordinator either by the difference in color of the sample or by the sample's cooler temperature.

   b. A second method of cheating is substitution. Drug abusers have attempted to substitute "clean" (drug -free) urine, "mellow yellow," orange soda, tea, apple juice, scotch, and jet fuel for their own urine. Direct observation will help prevent substitution attempts.

   c. A third method of cheating is dilution. Drug abusers may attempt to dilute a sample with water after the sample has been provided. Direct observation can prevent water dilution of a sample after it has been given. Close scrutiny shall be given to females who may be able to add water from the toilet bowl to the bottle. Coloring the toilet bowl water can deter this. Another form of dilution is for drug abusers to flush their systems by drinking large amounts of fluids and voiding several times before the test. This can be prevented by having personnel remain in a secure area until they provide their sample. Surprise announcement of the test just prior to beginning collections and requiring personnel to remain in a secure area until providing a sample can help prevent drug abusers from flushing their system.

2. If an observer suspects that a member tampered with his/her specimen at the collection site (i.e. the observer saw him/her put something in the specimen) then the observer must report it to the coordinator who will then secure the specimen and notify the commanding officer or appropriate chain of command. The commanding officer or designee will direct the member to provide another specimen under the "command directed (CO)" premise code. Both specimens will be sent to the screening laboratory for testing.

3. The drug screening laboratory usually is able to detect adulterated or substituted samples. The laboratory will notify the command when a sample is suspected to contain adulterants. If such is the case, the command may request that the laboratory send the specimen to another laboratory for further adulterant testing and the results be forwarded to the requesting command.

4. If a specimen is found to contain adulterants, both the member and his/her observer can be held accountable under the UCMJ (i.e. Article 90: Willfully

disobeying a direct order; Article 107: Making a false official statement; and Article 134: False swearing by acknowledging the sample as only urine).

5. An adulterated, substituted, or diluted sample is a good indication that there is a problem in the collection process. When any of these occur, the commanding officer should look closely at the collection procedures employed by the coordinator.

## 20.C.2.j. Procedures for Steroid Testing

1. If a command has personnel that may be suspected of anabolic steroid use, the following actions should be taken:

   a. Conduct a fitness for duty physical examination by a physician to include the possible use of anabolic steroids.

   b. If the physical examination provides an opinion that use of anabolic steroids could exist, the command should then follow the procedures outlined in paragraph 2 through 4 below:

2. Require the individual to provide a urine sample of 30 ml or more. The preferred collection premise is a Consent evaluation (VO) but if, in the opinion of the command and the medical evaluation, there is probable cause to suspect anabolic steroid use, a Probable cause (PO) test may be conducted.

   a. Collect the sample using the Specimen Custody Document DD Form 2624.

   b. Contact the International Olympic Laboratory at University of California, Los Angeles, to obtain the current screening and confirmation costs. The UCLA contact information is:

| |
|---|
| University of California, Los Angeles<br>Olympic Analytical Laboratory<br>2122 Grandville Ave.<br>Los Angeles, CA 90025 |

   Note: Do not send the urinalysis sample without obtaining pre-approval from the UCLA lab.

3. Have comptroller/supply cut a purchase order to pay the service cost. Contact UCLA again and provide the purchase order cost data.

4. If the UCLA lab requirements are complete, send the sample via overnight delivery. Do not send by regular mail. The cost of the anabolic steroid analysis is the responsibility of the submitting command and the terms of payment to UCLA should be addressed in a coordinating telephone call.

### 20.C.2.k. Safe Storage of Specimens

1. Specimens will not be placed in safe storage unless absolutely necessary. Arrangements can be made with the U.S. Postal Service to accept the specimens after duty hours.

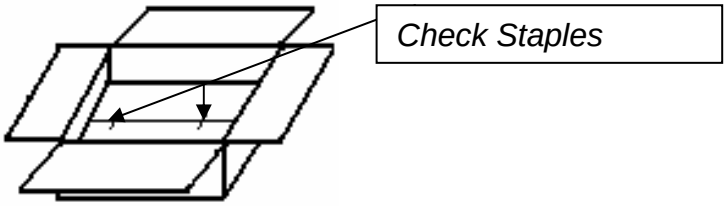
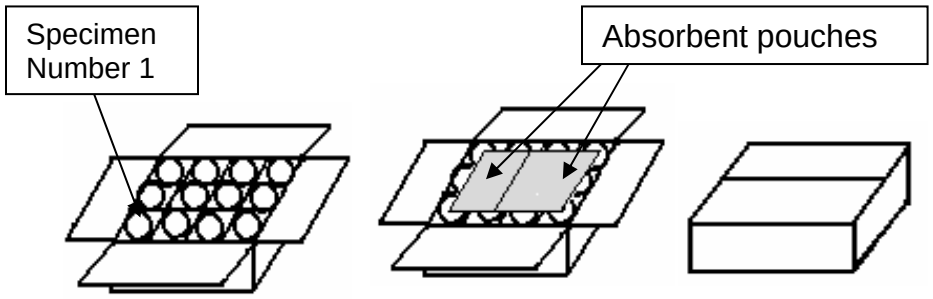
2. If safe storage is required, it must be annotated in Block 12, DD Form 2624. Proper annotation must include building number, room number, and container number as appropriate.

3. The safe storage area will be a restricted access area that requires an access roster. The access roster will show entries placing the specimens into safe storage and their removal.

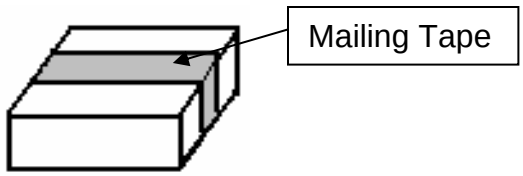
4. The urinalysis coordinator that places the specimens in safe storage will remove the specimens from safe storage.

## 20.C.2.l. Packing and Mailing Requirements

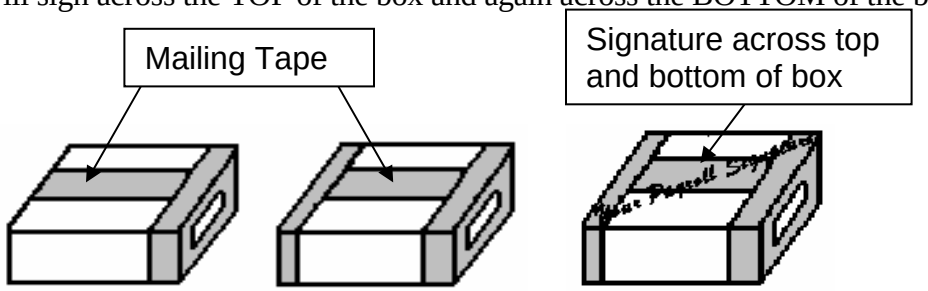
The urinalysis coordinator shall prepare specimens for shipment as follows:

| | |
|---|---|
| **Step 1.** | |
| **1.** | Check the bottle cap for tightness. If tightening breaks the tamper-resistant tape seal, replace the broken seal with a new one and document it appropriately on the DD Form 2624, Urine Specimen Custody Document (USCD). |
| **2.** | Prepare a #10 business envelope as follows for each box of specimens. Annotate four digit Base/Area Code (BAC) on the front of envelope in large print as per example below:<br>**CG01** |
| **3.** | Close envelope after enclosing:<br>a. Original copy of DD Form 2624<br>b. Original(s) of Certificate of Correction (if used)<br>Original of special test request (if required) |
| **Step 2.** | |
| **1.** | Prepare an individual box of up to 12 specimen bottles as follows:<br>a. Examine the staples inside of the box, under bottle number 5 and number 8; ensure that the staples are flat. If the staples are sticking up, then either flatten them with a hammer or remove them and tape the bottom closed.<br>  <br><br>b. Ensure all specimens are in the box, then place two absorbent pouches in the box. Close the box (short extensions first).<br>  <br> |

c. Seal with adhesive tape (use mailing tape, not scotch tape) around entire length of box covering center of box over crack left by joining lengthwise flaps of box.




d. Seal each end of the box with mailing tape, ensuring that all flaps and seams are covered. After both ends of the box are taped, the urinalysis coordinator will sign across the TOP of the box and again across the BOTTOM of the box.

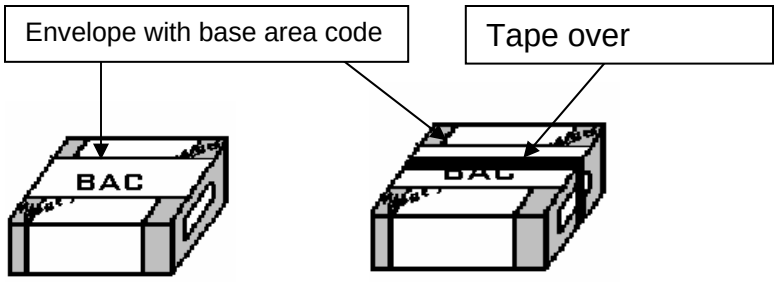



**Step 3.**

**1.** After the box of 12 specimen bottles are properly packaged and signed by the Coordinator, continue as follows:

a. Place prepared #10 business envelope on top of box (Original documents enclosed).

b. Tape with 1” fiber strap tape or other suitable tape (not scotch tape).




**Step 4.**

**1.** Place box in mail pouch (white plastic leak-proof bag, NSN 6530-01-304-9762) and seal.

**2.** If more than 2 boxes, then place pouches in a larger shipping box.

**Step 5.**

**1.** Prepare large shipping box (with individual specimen boxes inside) if required. There are no specific taping instructions for the larger box.

**2.** Prepare either the large box or individual small boxes for shipment. Additional wrapping instructions will depend upon the courier utilized.

| Step 6. | |
|---|---|
| **1.** | Affix a label or write unit address in top left corner of box. |
| **2.** | **Specimens will be mailed through the U.S. Postal Service, first class mail (11 ounces and less) or priority mail (11 ounces and more) to the following address:**<br>Tripler Army Medical Center FTDTL<br>Bldg. 40, 2nd Floor<br>Tripler AMC, HI 96859-5000<br><br>Next to the address, handwrite or stamp, "CLINICAL SPECIMEN – URINE SAMPLE." |
| **3.** | On rare occasions, when conducting a urinalysis test for probable cause or reasonable suspicion, and a quick drug testing result is needed, the specimens may be shipped through the U.S. Postal Service Overnight Mail or **DHL**. The actual method of transport will be correctly annotated in Block 12, DD Form 2624. Attached a memorandum requesting the unit be advised of test results immediately via facsimile or Federal Express mail. |

## 20.C.2.m. Laboratory Processing Procedures

The following is provided for general information:

1. Screening Laboratories. Analysis of specimens for the Coast Guard in-service urinalysis drug testing program is performed under a government contract by a private laboratory or DoD facility. Currently, Tripler Army Laboratory performs drug testing for the Coast Guard.

2. Screening Tests. Used in the initial testing of urine specimens to detect various drugs. Screening tests furnish a presumptive positive or presumptive negative result used to determine whether confirmatory tests are warranted. Any specimen presumed positive shall then undergo a confirmatory test.

3. Confirmatory Tests. Urine specimens which test positive for drugs in the screening test will be tested using gas chromatography or mass spectrometry (GC/MS) technology. Whereas a screening test detects only a class of drugs; the GC/MS test detects a specific metabolite of a certain drug. All tests must be positive above the established cutoff level before a specimen is reported positive. A cutoff level has been established for each drug which will ensure the reliability of any finding that the drug is present in the specimen.

4. Laboratory Report. Tripler Laboratory will report confirmed positive test results via Express Mail to the originating command (USCD block 1). Test results will be annotated on a certified copy of the DD Form 2624 Urine Sample Custody Document (USCD) mailed to the laboratory. All other results will be sent via electronic mail to the major command Area Coordinators listed in Exhibit 20.C.1. Refer questions about test result reports to Tripler Laboratory (808) 433-5176. Allow at least 10 workdays before calling for test results. A positive finding is evidence of drug use. A negative report from the lab does not necessarily mean that the urine specimen is drug free. If the concentration level is below the cutoff for a particular drug, the specimen is reported negative. A specimen containing a drug for which the lab does not test will

also be reported as negative. Accordingly, commanding officers should not rely entirely on urinalysis to detect drug abuse at their units.

5. Retests Requested By Member. Commanding officers are not required to obtain a retest from the government contract laboratory when requested to do so by a member. A member, at his or her own expense, may obtain a specimen retest at a DoD- or SAMSHA-certified testing laboratory other than the contract laboratory. All requests must be in writing through the submitting command and accompanied by a $15 cashiers check or money order to cover the cost of preparing and shipping the specimen. The request must include the social security number, Laboratory Accession Number, and the complete address of the laboratory where the specimen is to be sent. If a sufficient quantity of urine from the original specimen is available, the government contract laboratory will ship a portion of it directly to the lab selected by the member for this testing. Drug metabolites in urine degrade over time and certain shipping conditions accelerate this degradation. Lower levels of drug metabolites should be expected when these specimens are retested. Therefore, a negative result from another lab does not necessarily mean that a finding of no drug incident will be made. Results of retest must include a quantitation level report.

## 20.C.3. Drug Incident Investigations

### 20.C.3.a. General

Commanding officers shall initiate an investigation into a possible drug incident, as defined in Article 20.A.2, following receipt of a positive confirmed urinalysis result or any other evidence of drug abuse. The absence of a positive confirmed urinalysis result does not preclude taking action based on other evidence. Situations which should be carefully evaluated to determine if drugs are an underlying factor include: civil arrest, habitual association with persons who abuse or traffic in drugs, possession of drug paraphernalia, sudden decreases in job performance, repeated absenteeism or lateness for work, unexplained public or domestic disturbances, and accidents or unexplained circumstances requiring medical care.

### 20.C.3.b. Supporting Documentation and Expert Witness

1. When necessary, the commanding officer may obtain any of the supporting documents or processes listed below, for legal or administrative action, at no cost. Requests must be made to Tripler Laboratory in memo format and shall include the member’s social security number and laboratory accession number. They may be sent by facsimile to (808) 834-3609 or by regular mail."

   a. Nanogram amount for a positive specimen (1 page: generally returned by facsimile)

   b. Commander's packet (about 10 pages: generally returned by facsimile)

   c. Litigation packet (about 55 pages: returned by Federal Express).

   d. Retest a specimen (in-house or private lab).

   e. Retention of positive specimen beyond 1 year.

   f. Analysis of adulterated specimen.

g. Urine typing.

2. On request, the laboratory will provide an expert witness, in person or through telephonic means, at court-martial proceedings and administrative discharge boards. The command is responsible for the expert's travel expenses. Direct command requests for expert witness testimony to Tripler lab at (808) 433-5176.

### 20.C.3.c. Legal Rights

Before being questioned in relation to a drug incident, members are entitled to be advised of their rights under Article 31, UCMJ. This applies whether or not disciplinary action under the UCMJ is contemplated.

### 20.C.3.d. Determining a Drug Incident

In determining whether a drug incident occurred, a commanding officer should consider all the available evidence, including positive confirmed urinalysis test results, any documentation of prescriptions, medical and dental records, service record (PDR), and chain of command recommendations. Evidence relating to the member's performance of duty, conduct, and attitude should be considered only in measuring the credibility of a member's statement(s). If the evidence of a possible drug incident includes a positive urinalysis result, the command should also determine whether the urinalysis was conducted in accordance with this article and whether the collection and chain of custody procedures were properly followed. The commanding officer may delay final determination to pursue any of these options deemed appropriate:

1. Ask the member to consent to a urinalysis test as outlined in Article 20.C.2.a.

2. Direct the member to participate in a urinalysis evaluation program for a maximum of six months as outlined in Article 20.C.2.a.

3. Request the laboratory reexamine the original documentation for error.

4. Request the laboratory retest the original specimen. Retesting requires additional urinalysis confirmation documentation and reduces the quantity of urine available for future directed retesting; i.e., in the case of court-martial. This should not be a routine course of action.

### 20.C.3.e. Preponderance of Evidence Standard

The findings of a drug incident shall be determined by the commanding officer and an Administrative Discharge Board, if the member is entitled to one, using the preponderance of evidence standard. That is, when all evidence is fairly considered, including its reliability and credibility, it is more likely than not the member intentionally ingested drugs. A preponderance of the evidence refers to its quality and persuasiveness, not the number of witnesses or documentation. A member's admission of drug use or a positive confirmed test result, standing alone, may be sufficient to establish intentional use and thus suffice to meet this burden of proof.

## 20.C.4. Findings of a Drug Incident

If after completing the investigation described in Article 20.C.3, the commanding officer determines that a drug incident did occur, he or she will take these actions:

1. Administrative Action. Commands will process the member for separation by reason of misconduct under Articles 12.A.11., 12.A.15., 12.A.21., or 12.B.18., as appropriate. Cases requiring Administrative Discharge Boards because of the character of discharge contemplated or because the member has served a total of eight or more years, will also be processed under Articles 12.B.31. and 12.B.32., as appropriate.

2. Disciplinary Action. Members who commit drug offenses are subject to disciplinary action under the UCMJ in addition to any required administrative discharge action.

3. Eligibility for Medical Treatment. Members who have been identified as drug-dependent will be offered treatment prior to discharge. If accepted, immediately on completing this treatment, the member will be discharged from the Service. Treatment will be coordinated through the applicable Maintenance and Logistics Command and may be either in-patient or out-patient treatment. A diagnosis of drug/chemical dependency must be made by a qualified medical officer/physician having a background in substance abuse and chemical dependency or a certified substance abuse screening facility, i.e. a U.S. Navy Counseling and Assistant Center (CAAC). The member may undergo treatment at either a Veterans Administration or civilian facility closer to his or her home. However, the applicable Maintenance and Logistics Command working in concert with medical and screening authorities will determine the treatment type and location. Members diagnosed as drug/chemically dependent who refuse treatment will be required to sign a CG-3307 acknowledging that they waive their right to benefits under the Department of Veterans Affairs for treatment for chemical dependency.

## 20.C.5. Findings of No Drug Incident

1. In cases in which the commanding officer determines the urinalysis result attributed to a particular member resulted from administrative error; faulty chain of custody, evidence of tampering, or that drug use was not wrongful; e.g., prescribed medication or unknowing ingestion, the commanding officer will make a finding of no drug incident and close the investigation. In addition, these actions shall be taken:

   a. Screening and/or Counseling. A determination shall be made whether psychiatric, medical, or drug dependency screening (e.g., cases of abuse or overdose of prescription or over-the-counter medications) is warranted. At a minimum, the member's commanding officer shall review with the member the previous training they received on the subject of drug abuse. The commanding officer also shall discuss the member's current awareness of the Commandant's policy on drug abuse, the physical and psychological dangers of drug abuse, and the sources of self-help available to maintain a lifestyle free of involvement with

and exposure to drugs. If retraining is considered necessary in these areas, arrangements will be made for the member's participation in awareness training.

b. Letter Report. Commanding officers shall notify Commandant (**CG-1221**) by letter of all cases involving positive urinalysis test results in which they make a finding of no drug incident. This letter shall indicate the drug(s) identified in the specimen and the reason for the no drug incident determination. The member should not be identified by name, social security number, or any other means since the information will be used for statistical purposes only.

2. If subsequent to making a determination that a drug incident occurred, a commanding officer is made aware of new information and determines that, in fact, no drug incident occurred, he or she retains the authority to withdraw a recommendation for discharge until such date on which that discharge is effected.

## 20.C.6. Exhibits

### EXHIBIT 20.C.1 List of Major Commands

Every Coast Guard unit is under the cognizance of one of the major commands listed below for purposes of yearly allocations and program administration. Units that fall under these commands must use their major command's Base Area Code (BAC). Questions concerning which major command is in charge of any particular unit may be directed to Commandant (**CG-1221**).

| BAC | UIC | MAJOR COMMAND COORDINATOR |
|---|---|---|
| CG01 | 47000 | CG ISC BOSTON MA |
| CG02 | 46700 | CG ISC ST LOUIS MO |
| CG05 | 75130 | CG MLCLANT |
| CG07 | 46900 | CG ISC MIAMI FL |
| CG08 | 47710 | CG ISC NEW ORLEANS LA |
| CG09 | 46800 | CG ISC CLEVELAND OH |
| CG11 | 75160 | CG MLCPAC |
| CG13 | 71113 | CGD THIRTEEN SEATTLE WA |
| CG14 | 47810 | CG ISC HONOLULU HI |
| CG17 | 47700 | CG ISC KETCHIKAN AK |
| C17A | 46000 | CG ISC KODIAK AK |
| CG38 | 52500 | CG ELC BALTIMORE MD |
| CG40 | 50100 | CG AR&SC ELIZABETH NC |
| CG50 | 52400 | CG TISCOM ALEXANDRIA VA |
| CG53 | 47400 | CG PSC TOPEKA KS |
| CG60(PERM. ASSIGNED) | 60100 | CG ACADEMDY NEW LONDON CT |
| C60A(ACCESSION) | 60100 | CG ACADEMDY NEW LONDON CT |
| CG71 | 62100 | CG INSTITUTE OKLAHOMA CITY OK |
| CG74 | 61200 | CG TRACEN PETALUMA CA |
| CG75 | 63100 | CG TRACEN YORKTOWN VA |
| CG76 | 65100 | CG ATC MOBILE AL |
| CG77(PERM. ASSIGNED) | 67100 | CG TRACEN CAPE MAY NJ |
| C77A(ACCESSION) | 67100 | CG TRACEN CAPE MAY NJ |
| CG78 | 61300 | CG ATC ELIZABETH CITY NC |
| CG80 | 31800 | CG YARD BALTIMORE MD |
| CG81 | 51100 | CG R&DC GRONTON CT |
| CG98 | 47850 | CG HSC WASHINGTON DC |

## EXHIBIT 20.C.2. Urinalysis Supplies

Urinalysis supplies and materials must be stored in a locked container at all times, with access limited to the commanding officer, executive officer, and primary urinalysis coordinator. Supply order information is shown below.

**URINALYSIS SUPPLIES INFORMATION**

| ITEM | STOCK # |
|---|---|
| Shipping Box and 12 Bottles | 6640-00-165-5778 |
| **Shipping Box and 6 Bottles** | **8115-00-183-9505** |
| **Shipping Box and 4 Bottles** | **8115-00-079-8447** |
| Wide Mouth Bottles | 6530-01-048-0855 |
| Mailing Pouch-White | 6530-01-304-9762 |
| Absorbent Pads | 6530-01-304-9754 |
| Envelope Packing Lists | 8105-00-857-2247 |
| Tape, Gummed Kraft | 8135-00-598-6097 |
| Tape, Tamper Resistant | 6640-01-204-2654 |
| Tape, Pressure Pack Nylon | 7510-00-290-8035 |
| Gloves, Rubber | 6515-00-339-7860 |
| Label, Pressure Sensitive | 7530-01-**204-9751** |
| Retractable Ball Point Pens | 7520-00-935-7135 |
| **FORMS: (Available in USCG Adobe Forms)** | |
| (DD Form 2624, Specimen Custody Document - Drug Testing)[Order using DD-1348 milstrip, available in pads of 50] | 0102-LF-016-7600 |
| Unit Urinalysis Ledger | |

**EXHIBIT 20.C.3. Sample Urinalysis Ledger**

| 1. NAME OF UNIT: | 2. NAME OF UNIT COORDINATOR & PHONE NUMBER: | 3. DATE SPECIMEN COLLECTED |
|---|---|---|
| | | |

| 4. TIME | 5. BATCH NUMBER | 6. SPECIMEN NUMBER | 7. TPI | 8. MEMBER'S COMPLETE SSN | 9. MEMBER'S SIGNATURE AND PRINTED NAME | 10. REMARKS/MEDICATIONS | 11. OBSERVER'S SIGNATURE AND PRINTED NAME |
|---|---|---|---|---|---|---|---|
| | | | | | --- | | --- |
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| | | | | | --- | | --- |
| | | | | | --- | | --- |

12. PRIVACY ACT STATEMENT: IN ACCORDANCE WITH 5 USC 552a(e)(3). THE FOLLOWING INFORMATION IS PROVIDED TO YOU WHEN SUPPLYING INFORMATION TO THE U.S. COAST GUARD:

A. AUTHORITY WHICH AUTHORIZED THE SOLICITATION OF THIS INFORMATION: 21 USC 1102

B. PRINCIPAL PURPOSE(S) FOR WHICH INFORMATION IS INTENDED TO BE USED: ADMINISTRATION OF THE COAST GUARD DRUG URINALYSIS TESTING PROGRAM.

C. THE ROUTINE USES WHICH MAY BE MADE OF THE INFORMATION: FOR PURPOSES OF IDENTIFYING THE MEMBERS WHO PROVIDE URINE SAMPLES AND FOR ADMINISTRATIVE AND DISCIPLINARY PURPOSES, AS APPROPRIATE.

D. WHETHER OR NOT DISCLOSURE OF SUCH INFORMATION IS MANDATORY OR VOLUNTARY (REQUIRED BY LAW OR OPTIONAL) AND THE EFFECTS ON THE INDIVIDUAL, IF ANY, OF NOT PROVIDING ALL OR ANY PART OF THE REQUESTED INFORMATION: MANDATORY. FAILURE TO PROVIDE INFORMATION MAY RESULT IN ADMINISTRATIVE OR DISCIPLINARY ACTION.

**EXHIBIT 20.C.4. Urinalysis Checklist**

1. Did you check the inside of the bottle (empty and clean)?
2. Is the specimen that you have provided your specimen that has not been altered in any way?
3. Is your social security number on the label? Is it correct? Did you initial the label?
4. Did you verify that the batch number and specimen number on the label match those on the ledger?
5. Did you verify that the social security number and name on the ledger are correct? Did you sign the ledger?
6. Did you give a list of medications you are taking or notify the coordinator that medication is recorded in your health record?

In the space by your specimen number, write "yes" if the answer to all the questions is yes. If not, write "no", and then annotate the discrepancy in the space provided:

1. _____ _____
2. _____ _____
3. _____ _____
4. _____ _____
5. _____ _____
6. _____ _____
7. _____ _____
8. _____ _____
9. _____ _____
10. _____ _____
11. _____ _____
12. _____ _____

## EXHIBIT 20.C.5. Sample of DD Form 2624

### Sample of DD Form 2624, Specimen Custody Document – Drug Testing (Front)

***SPECIMEN CUSTODY DOCUMENT – DRUG TESTING***

A. LABORATORY CONDUCTING DRUG TESTING

1. SUBMITTING UNIT
USCGC CHINCOTEAGUE (WPB 1320)
C/O CG GROUP
SOUTH BROAD STREET
MOBILE, AL 36615-1390

2. ADDITIONAL SERVICE INFORMATION *(Second Echelon)*
CCGDEIGHT NEW ORLEANS, LA

NAME OF UNIT
COORDINATOR:
PHONE #:

B. BATCH NUMBER

C. REPORT OF RESULT (DTG Serial No.)

| 3. BASE/AREA CODE | 4. UNIT IDENTIFICATION CODE | 5. DOCUMENT/BATCH NUMBER | 6. DATE SPECIMEN COLLECTED (YYYY) (MM) (DD) |
|---|---|---|---|
| C G 0 8 | T 1 3 4 2 0 | C T 0 1 | 1 9 9 9 1 0 0 2 |

| 7. SPECIMEN NUMBER | 8. COMPLETE SSN | 9. TEST BASIS | 10. TEST INFORMATION | 11. PRESCREEN THC | COC | | D. DRUGS TESTED E. DISC CODE | F. ASSESSION NUMBER | G. RESULT |
|---|---|---|---|---|---|---|---|---|---|
| (1) | 001 – 41 - 6953 | IR | A | | | | | | |
| (2) | 000 – 58 - 9362 | PO | B | | | | | | |
| (3) | 000 – 25 – 9076 | IR | A | | | | | | |
| (4) | 123 – 45 – 6789 | OO | A | | | | | | |
| (5) | 000 – 86 – 0987 | IR | B | | | | | | |
| (6) | – – | | | | | | | | |
| (7) | – – | | | | | | | | |
| (8) | | | | | | | | | |
| (9) | | | | | | | | | |
| (10 | | | | | | | | | |
| (11 | | | | | | | | | |
| (12 | | | | | | | | | |

H. CE
b
(1) S

Dd F

### Sample of DD Form 2624, Specimen Custody Document – Drug Testing (Back)

12. CHAIN OF CUSTODY

| DATE (YYMMDD) a. | RELEASED BY b. | RECEIVED BY c. | PURPOSE OF CHANGE/REMARKS d. |
|---|---|---|---|
| (1) 991002 | SIGNATURE<br>NAME JOHN J. JONES | SIGNATURE<br>NAME US POSTAL SERVICE | TRANSPORT TO TAMC FTDPL |
| (2) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (3) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (4) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (5) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (6) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (7) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (8) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (9) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |
| (10) | SIGNATURE<br>NAME | SIGNATURE<br>NAME | |

INSTRUCTIONS

| BLOCK | | USA | USN/MC | USAF |
|---|---|---|---|---|
| 1 | SUBMITTING UNIT | Message address of unit submitting samples | | |
| 2 | ADDITIONAL SERVICE INFORMATION (SECOND ECHELON) | Do Not Use | Message address of second echelon commander to whom submitting unit reports adminisratively | Optional. May be used to identify the base POC |
| 3 | BASE/ AREA CODE | Service Code Area | Leave Blank. For Future Use | Four-character Base Identification Code (Ex., F123 Comprises the first four characters of the full 10-character Base Identification Number (BIDN) |
| 4 | UNIT IDENTIFICATION CODE | Unit Identification Code (UIC or RUC) of Unit submitting urine sample. | | Do not use |
| 5 | DOCUMENTATION/ BATCH NUMBER | Do not use | Enter the locally assigned batch number. Each batch of 12 samples, or portion thereof, shall be assigned a separate number by the submitting unit. | 3-digit batch number common to all specimens in the shipment (EX., 501). Comprises the middle part of the 10-character BIDN assigned to each specimen. |
| 6 | DATE SPECIMEN COLLECTED | Enter the four-digit year, two-digit month, and two-digit day that samples were collected by submitting unit. | | |
| 7 | SPECIMEN NUMBER | Use number pre-printed on form To itemize botttle. | | Enter 3-digit sequential specimen number (last 3 characters of full BIDN). |
| 8 | COMPLETE SSN | Full SSN of person from whom sample obtained. | | |
| 9 | TEST BASIS | Indicate the testing premise to conduct the collection. | | |
| 10 | TEST INFORMATION | Military:<br>A = E1 – E4;<br>B = E5 – O10<br>Civilian only;<br>C = TDP Aviation;<br>D = TDP Guard/Police;<br>E = TDP PRP, F = TD<br>ADAPCP Staff:<br>G = other TDP<br>N = other nonmilitary | Leave blank | Entry required only if additional testing is requested:<br>F = Full Panel;<br>S = Steroids<br>O = Other Drugs<br>Provide Clarification in attached message |
| 11 | PRESCREEN | If screened (field tested) prior to submission and found positive, indicate P for positive or N for negative for drug(s) pre-screened. Leave blank if not screened prior to submission to lab. | | Not used |

12. CHAIN OF CUSTODY (LINE (1)).
a. DATE – Date of collection/shipment.
b. RELEASED BY – Signature and printed or typewritten name of the urinalysis coordinator having custody of the samples.
c. RECEIVED BY – Use only if physical change of custody is occurring prior to shipment. Otherwise leave blank.
d. PURPOSE OF CHANGE/REMARK – Specify the mode of accountable transportation/system utilized to ship specimens to the lab.

NOTE: If/when custody of specimens changes other than for shipment (unless hand carried to lab), Each chain of custody requires line number signature in the (b) RELEASED BY and (c) RECEIEVED BY blocks to document change in custody with comment block (d). If a continuation sheet is necessary, it must contain information/signature blocks (a) – (d)

13. DAMAGE TO SHIPPING CONTAINER/DISCREPANCIES

Form 2624, FEB 93 – Page 2 *U.S. GPO: 1993-300-727/90354

## EXHIBIT 20.C.6. Drug Cut-off Level

| | | THC | Cocaine | AMPS | PCP |
|---|---|---|---|---|---|
| Screen | | 50 | 150 | 500 | 25 |
| **GC**/MS | | 15 | 100 | 500 | 25 |
| | | | | | |
| | **MOR** | **COD** | **6MAM** | **LSD** | **OXY** |
| Screen | 2000 | N/A | **10** | 500 pg/ml | **100** |
| GC/MS | 4000 | 2000 | 10 | 200 pg/ml | **100** |

## EXHIBIT 20.C.7. Tripler Laboratory Discrepancy Codes

| DISCREPANCY CODES | | | | | | | |
|---|---|---|---|---|---|---|---|
| 1. SPECIMEN | | | | 3. FORM (continued) | | | |
| | X | SA | Specimen appears to be adulterated | | T | FG | Date Specimen is Collected is missing |
| | T | SB | Specimen appears to be adulterated | | T | FH | Date Specimen is Collected does not agree |
| | X | SC | Quantity not sufficient to test | | X | GB | SSN on DD Form 2624 missing / illegible / incomplete |
| | T | SZ | Specimen: Other | | X | FU | SSN overwritten on DD Form 2624 |
| 2. LABEL | | | | | X | FI | SSN not forensically corrected |
| | X | LD | Label over label | | X | GS | Civilian code in Block 9 |
| | T | LE | Base / Area Code is missing | | X | GD | Code in Block 10 not A or B |
| | T | MC | Base / Area Code is not correct | | X | GJ | Block 10 not forensically corrected |
| | T | LF | Date missing | | X | GQ | Service member's name received on DD Form 2624 |
| | T | LG | Date specimen collected is not correct | | T | GZ | Form: Other |
| | T | LJ | Service member's initials missing on bottle label | 4. PACKAGE | | | |
| | T | LK | Absence of two sets of initials on bottle label | | X | PA | Shipping container received with no or broken seal |
| | X | LM | No SSN on bottle label | | X | PB | Tampering |
| | X | LN | SSN on bottle does not match SSN on DD Form 2624 | | T | PZ | Package: Other |
| | X | MB | SSN is incomplete / illegible | | T | PD | No signature on package |
| | X | LS | SSN not forensically corrected – OVERWRITTEN | 5. BOTTLE | | | |
| | X | LT | SSN not forensically corrected | | X | BC | Specimen leaked in shipment, quantity not sufficient to test |
| | T | LZ | Label: Other | | X | BD | Bottle received with broken seal and no explanation |
| 3. FORM | | | | | X | BE | Bottle received without seal and no explanation |
| | T | FK | Form other than DD Form 2624 received | | X | BF | Bottle received double taped and no explanation |
| | X | FL | No DD Form 2624 received | | X | BG | Bottle with broken chain of custody |
| | X | FQ | DD Form 2624 Chain of Custody entries are not original | | X | BI | Bottle damaged, not tested |
| | X | FN | DD Form 2624 does not have Chain of Custody entries | | X | BP | Unauthorized specimen container |
| | X | FM | DD Form 2624 received separately from bottle | | X | BQ | Service member's name received on bottle |
| | X | FR | DD Form 2624 on two pieces of paper w/o identifiers | | T | BZ | Bottle: Other |
| | X | GG | DD Form 2624 listed specimen, no bottle received | 6. OTHER | | | |
| | X | FP | Specimen bottle present, not recorded on DD Form 2624 | | X | OA | Laboratory Accident |
| | T | FA | Base / Area Code missing | | X | OB | Service member's name received on "Other" |
| | T | FB | Base / Area Code does not agree | | X | OD | Untestable Discrepency with no other code assigned |
| | T | FC | Base / Area Code is not correct | | X | OF | Security Violation in the FTDTL storage room |
| | T | FD | Unit Identification Code is missing / incorrect | | X | OG | Technical difficulties |
| | T | FF | Document / Batch number is missing | | | | |