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

Commandant
United States Coast Guard

2100 Second Street, S.W.
Washington, DC 20593-0001
Staff Symbol: CG-1221
Phone: (202) 267-0915
FAX: (202) 267-4823

COMDTNOTE 1000
20 Oct 2005

COMMANDANT NOTICE 1000 CANCELLED: 19 Oct 2006

Subj: CH-40 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 and district commanders, commanders of maintenance and logistics 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. Official distribution will be via the Coast Guard Directives System CD and on Coast Guard web: http://cgweb.uscg.mil/g-c/g-ccs/g-cit/g-cim/directives/welcome.htm and http://www.uscg.mil/ccs/cit/cim/directives/welcome.htm. An electronic version has been posted on the Commandant (CG-1221) website (www.uscg.mil/hq/g-w/g-wp/g-wpm/WPM-1.htm). Internet release is authorized.

3. DIRECTIVES AFFECTED. None.

4. 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.

5. PROCEDURES. Remove and insert the following pages:

Remove	Insert
Chapter 1 Contents	Chapter 1 Contents
1.D. Pages 1-2	1.D. Pages 1-2
1.D. Pages 5-8	1.D. Pages 5-8
1.D. Pages 25-30	1.D. Pages 25-33
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DISTRIBUTION – SDL 143

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B		5	10*	1	21	10	25	30	8	6	7	7	6	60	2	1	3	110	1	1	12	1	22	1	1	1
C	5	2	3	4	2	2	2	2	2		3*	2	1	4*	1	1	1	1	1	1	1	1	1	1	1	1
D	2	1	1	5	1	1	1	1	1	1	3	1*	1	1	2	1	1	1	1	1	1	1	1			1
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NON-STANDARD DISTRIBUTION: See action paragraph.

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20.C. Pages 23-24	20.C. Pages 23-24
	21.A. Pages 1-2
	21.B. Pages 1-2

6. FORMS AVAILABILITY. Coast Guard forms listed throughout this change are accessible in the USCG Adobe Forms Library.

Jean M. Butler, CAPT
Acting Director of Personnel Management

Encl: (1) Summary of Changes
(2) Change 40

CH 40 TO PERSONNEL MANUAL, COMDTINST M1000.6 (series)

SUMMARY OF CHANGES

Chapter 1	
Article 1.D.	Requires INV specialty applicants to possess normal hearing and color perception. WEPS applicants must possess normal color perception.
Article 1.D.4.	Updates Normal Path of Advancement table to include the AET, OS, IT rates and Special Agents when applying for Chief Warrant Officer.
Article 1.D.15.	Incorporates Criminal Investigator Specialty appointment process and qualifications.

Chapter 2	
Article 2.A.1.	Changes abbreviation for Rear Admiral (lower half) from RADM(L) to RDML to coincide with the Navy's Military Models of Address.
Article 2.A.1.	Includes Criminal Investigator (INV) in the titles of specialties of chief warrant officers.

Chapter 3	
Article 3.D.	Incorporates new Officer Accession Bonus (OAB) Program.

Chapter 4	
Article 4.A.5.	Updated listing of designated surf units. Defines tour lengths for certified surfmen and prospective surfmen.
Article 4.C.	Changes to reflect the Assignment Year Process replacing the S.P.E.A.R. process.
Article 4.C.4.b	Changes to policy to allow for the reassignment of a class "A" school disenrollee who fails to meet eligibility requirements, including service obligation.
Article 4.C.6.	Substantive changes to the Officer In Charge assignment and applications processes.
Article 4.C.7.	Updated qualification criteria for assignment as an Engineering Petty Officer (EPO).
Article 4.E.	Various sections updated to reflect "Unscheduled" enlisted employee review replacing the "Special" enlisted evaluation.

Chapter 5	
Article 5.C.3.	Deletes Secretary of Transportation Letters of Commendation from Awards listing.
Article 5.C.4.	Requires COs to prepare comments in the Enlisted Employee Review when a member otherwise eligible for advancement is assigned a mark of Not Recommended. Changes deadline dates for submitting waiver for SWE eligibility requirements from 01 January and 01 July to 01 February and 01 August respectively. Reflects sea time requirements for advancement eligibility.
Article 5.C.5.	Replaces references to the Enlisted Performance Evaluation Form (3888 (series)) with Enlisted Employee Review. Provides additional guidance for members competing for BMCS.
Article 5.C.6.	Provides guidance on "Employee Review Window" for computation of final multiple.
Article 5.C.9.	Includes OS and IT Class "A" schools as required service courses for advancement.
Article 5.C.15.	Defines "sea time" for advancement eligibility. Clarifies minimum sea duty requirements for advancement in certain ratings including those legacy and new ratings that resulted from Joint Rating Review (JRR) initiative. Incorporates guidance for calculating creditable sea time when derived from surf duty points. Removes minimum sea duty requirements for GMs.
Article 5.C.25.	Notes that under Article 138, UCMJ, final authority to reinstate a member on an advancement eligibility list or change an advancement recommendation lies with COMDT (CG-12).
Article 5.D.1.	Provides information on how to access the Personnel Data Extract (PDE) on the PSC website (www.uscg.mil/hqhrsic) for detailed description and examples of printed online PDE.
Article 5.D.3	Updates guidance for ordering substitute servicewide examinations.

Chapter 6	
Article 6.B.2.	Updates eligibility requirements for entitlement to wear the Coxswain Insignia.
Article 6.B.4.	Updates eligibility requirements for entitlement to wear the Surfman Insignia.

Chapter 8	
Article 8.K.	Conducting Traditional Ceremonies guidance removed from Article 8.K. and incorporated into Chapter 21, as Article 21.B.

Chapter 10	
Article 10.A.3.	Changes regular OER reporting period end date for in zone/above zone promotion board eligible LTJGs to 30 June vice 31 July.
Article 10.B.2.	Provides clarification regarding adverse entries in EERs when dealing with minor infractions.

Chapter 12	
Article 12.A.13.	Updates guidance regarding retention on active duty of officers after having been non-selected for promotion.
Article 12.C.	Guidance regarding retirement of commissioned officers after having been non-selected for promotion.
Article 12.C.11.	Revises sample memorandum for voluntary retirement request.

Chapter 18	
Article 18.A.	Updates policies concerning benefits for veterans and dependents.
Article 18.F.12.e.	Issues clarification of benefits available to deceased reserve member's surviving dependents.

Chapter 19	
Article 19.A.1.	Significant revision concerning Public Health Service Officers.

Chapter 20	
Exhibit 20.C.3	Reissued to correct pagination.

Chapter 21	
Chapter 21	New chapter established titled General Guidance.
Article 21.A.	Incorporates guidance regarding Language Usage in the Workplace.
Article 21.B.	Relocation/Renumbering of Article 8.K. Conducting Traditional Ceremonies

Throughout Various Chapters	
Various Articles	Replaced the term "Human Resources Service & Information Center (HRSIC)" with "Personnel Service Center (PSC)." Replaced the term "CGHRMS" with "Direct Access."

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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. Members serving in the MST rating who are otherwise qualified for the boatswain specialty, including normal color perception, are not required to complete the sea duty requirement. 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, INF, **INV**, MED, WEPS **and ENG** 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
Aviation Maintenance Technician (AMT) Avionics Electrical Technician (AET)	Aviation Engineering (AVI)
Musician (MU)	Bandmaster (BNDM)
Boatswain's Mate (BM) Marine Science Technician (MST)	Boatswain (BOSN)
Operations Specialist (OS)	Communications (COMM)
Electronics Technician (ET) Information Systems Technician (IT)	Electronics (ELC)
Storekeeper (SK) Food Service Specialist (FS)	Finance and Supply (F&S)
Damage Controlman (DC) Aviation Survival Technician (AST)	Material Maintenance (MAT)
Health Services Technician (HS)	Medical Administration (MED)
Electrician's Mate (EM) Machinery Technician (MK)	Naval Engineering (ENG)
Yeoman(YN)	Personnel Administration (PERS)
Investigator (IV) (Reserve Rating) Marine Science Technician (MST) (Reserve Rating) Port Security Specialist (PS) (Reserve Rating)	Port Safety and Security (PSS)
Photojournalist (PA)	Public Information (INF)
Gunner's Mate (GM)	Weapons (WEPS)
Special Agents	**Criminal Investigator (INV)**

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.

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.h. 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 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). In order to qualify for Merchant Marine Safety duties, personnel selected for initial assignment thereto will receive special additional training.

1.D.13.i. 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.j. 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.k. 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.l. 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.13.m. Bandmaster Specialty (BNDM)

Refer to Article 1.D.14.c.

1.D.13.n. Criminal Investigator Specialty (INV)

Refer to Article 1.D.15.

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) outlined in Article 1.D.14.c. below.

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

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.

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 ALCGPC 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, ASM, 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.

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)

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.

1. **Technical Qualifications.**

   a. **Must be a graduate of a Federal Law Enforcement Criminal Investigator Training program.**

   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.**

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.4.c. Enlistment in the Reserve within 24 Hours After Discharge

A person enlisting in the Coast Guard Reserve within 24 hours after discharge from the Regular Coast Guard is not required to take a physical examination provided the person was found to be physically qualified by a complete physical examination no more than one year prior to discharge, and provided the applicant's medical history during the last 12 months has been satisfactory. For a Reserve reenlistment within 24 hours after discharge, a physical examination is not required prior to reenlisting.

1.G.4.d. Enlistment in the Reserve Beyond 24 Hours Following Discharge

A person who does NOT enlist in the Coast Guard Reserve within 24 hours after discharge from the Regular Coast Guard or a Coast Guard reservist who does NOT reenlist within 24 hours at the same unit from which discharged, must take a physical exam in accordance with the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), and be processed through a Coast Guard recruiting office.

1.G.5. Eligibility for Regular Reenlistment

To be eligible for regular reenlistment, a person must meet these requirements:

1. Meet the minimum applicable average shown for the period after 30 June 1983.

    a. A member evaluated using only one form (non-rate, petty officer, or chief petty officer) during the enlistment must have a minimum dimension average equal to or above three for the given factor.

    b. A member evaluated using more than one form during enlistment. Personnel who were evaluated on more than one form during his or her enlistment (non-rated, petty officer, or chief petty officer) must have a minimum characteristic average of three in each factor over the period of the enlistment. Refer to Article 12.B.48.b. for direction in determining the final characteristic average. If a member meets the prescribed final minimum average for reenlistment in only one of the two marking systems, the commanding officer notifies Commander (CGPC-epm) by letter of the situation at the earliest possible date. The letter must include, at a minimum, the final averages of the individual's marks under both marking systems and a definite recommendation whether or not the member should be allowed to reenlist.

2. Be physically qualified in accordance with Article 1.G.4.

3. Each member must receive from the officer effecting discharge a specific recommendation of whether or not he or she should be allowed to reenlist. In making such recommendation, the officer effecting discharge should consider the member’s overall performance, potential for continued service, and conduct during the current enlistment. If a member has received an unsatisfactory conduct mark, court-martial conviction(s), or NJP punishment(s), the officer effecting discharge should also consider how the severity and nature of the offense(s) impact the member’s overall record of service during the current enlistment.

4. Not be in receipt of retirement orders.

5. If an alien at the time of original enlistment, must be a naturalized citizen. This does not apply to a member who enlisted from the Republic of the Philippines (Article 12.B.47.).

6. Coast Guard Reserve personnel serving on extended active duty are required to submit a letter request for reenlistment to Commander (CGPC-epm) via chain of command. Commander (CGPC-epm) approval is required prior to reenlistment.

7. For non-rated personnel, see Article 12.B.4.

8 First term personnel are not eligible for reenlistment without authority from the Centralized First Term Reenlistment Review (CFTRR).

9. Members who are approaching their High Year Tenure (HYT) Professional Growth Points (PGP) will normally be separated upon reaching their PGP (Article 12.G.3.) unless the HYT program has been suspended due to Service needs.

1.G.6. Indefinite Reenlistments

1. To be eligible for an indefinite reenlistment, a person must meet all of the requirements set forth in Article 1.G.2.

2. Active duty enlisted personnel with at least 10 years of active service shall be reenlisted for an indefinite period upon reenlistment. Those members serving on reenlistments or extensions that take them beyond their 10th year anniversary date are required to complete that period of service prior to entering into an indefinite reenlistment. Members with less than 10 years of active service on the date of reenlistment are subject to the provisions of Article 1.G.2.

   a. A member entering an indefinite reenlistment is authorized to serve up to the last day of the month that he or she completes 30 years of active service. E-9s who are assigned to “Gold Badge” CMC **or RFMC** billets may reenlist beyond 30 years of active service as provided in Article 12.G.3.

   b. Members serving on an indefinite reenlistment may request voluntary separation in accordance with Article 12.B.7.d., provided they have met all service obligations incurred for advancement, permanent change of station orders, and advanced or specialized training. Members requesting separation must do so by letter, via the chain of command, to Commander (CGPC-epm) no less than 6 months prior to the requested separation date.

   c. A member serving on an indefinite reenlistment, who is retirement eligible, may request voluntary retirement in accordance Article 12.C.11., regardless of the HYT PGP for their current paygrade.

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2.A Commissioned and Chief Warrant Officers

2.A.1. Grades of officers

The grades of officers of the Coast Guard in order of seniority, with abbreviations and pay grades, are listed in the following table:

Grade	Abbreviation	Pay Grade
Admiral	ADM	O-10
Vice Admiral	VADM	O-9
Rear Admiral	RADM	O-8
Rear Admiral (Lower Half)	**RDML**	O-7
Captain	CAPT	O-6
Commander	CDR	O-5
Lieutenant Commander	LCDR	O-4
Lieutenant	LT	O-3
Lieutenant (Junior Grade)	LTJG	O-2
Ensign	ENS	O-1
Chief Warrant Officer	CWO4, CWO3, CWO2	W-4, W-3, W-2
Cadet	CDT	

The titles of the specialties of chief warrant officers are as follows:

Specialty Name	Abbreviation
Boatswain	BOSN
Weapons	WEPS
Communications	COMM
Electronics	ELC
Naval Engineering	ENG
Aviation Engineering	AVI
Material Maintenance	MAT
Personnel Administration	PERS
Public Information	INF
Finance & Supply	F&S
Medical Administration	MED
Bandmaster	BNDM
Port Safety and Security (Reserve only)	PSS
Criminal Investigator	**INV**

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6. Extensions previously executed by members may be canceled prior to their operative date for the purpose of executing a longer extension or reenlistment in accordance with Article 1.G.19. Members should be informed that their SRB entitlement will be based only on newly acquired obligated service. For example, a member cancels a 3-year extension to reenlist for 6 years; the member will only be paid SRB entitlement for the additional 3 years of service. An exception to this rule is made for extensions of 2 years or less, or multiple extensions (each of which is 2 years or less in length), required of a member for transfer, training, advancement, or tuition assistance. These extensions may be canceled prior to their operation date for the purpose of immediate reenlistment or longer extension without any loss of SRB entitlement.

7. Members who are in a change in rate status will be eligible for the multiple in effect at the time the request for change in rate was approved by Commandant (**CG-1221**). Members shall sign an Administrative Remarks entry, CG-3307, stating that they are aware that they shall not receive any bonus entitlement for the new rate until they have reenlisted/extended and have attained the new rate. When the new rate is attained, all unearned SRB for the previously held rate will be recouped. Members authorized an SRB for their present rate will continue to receive annual installments until they attain their new rate.

8. Officer procurement programs are defined as those programs which, upon successful completion, will lead to an appointment as a chief warrant or commissioned officer in the Coast Guard. These programs include but are not limited to: Officer Candidate School, physician's assistant programs, and acceptance of chief warrant officer and direct commissioning programs. Upon notification of a member's selection to enter into any officer procurement program, any request for accelerated or early payment of the remaining portion of SRB payments will not be approved. The following information applies to individuals entering officer procurement programs:

   a. Members entering officer procurement programs who have reenlisted/extended for an SRB will have remaining installments suspended upon appointment in an officer procurement program (i.e., OCS, CWO appointment, etc.). The time spent in officer procurement program is creditable towards SRB payments. Members' SRB entitlement will terminate upon appointment.

   b. Members who do not successfully complete the officer procurement program and continue in an enlisted status in the same rate will have SRB installments resumed and are entitled to receive the SRB payments previously suspended.

   c. For those temporary commissioned officers who revert to enlisted status in their original rating, who still have time remaining on their contract, the time served as a commissioned officer shall not count toward SRB entitlement.

9. Commanding officers are authorized to effect early discharge and reenlist members within 3 months prior to their 6th, 10th, or 14th year active service anniversary dates (not to be confused with the normal expiration of enlistment), for the purpose of qualifying for a Zone A, B, or C SRB. In such cases, SRB

payments will be reduced by any portion of unserved service obligation. Commanding officers shall ensure that such personnel are fully qualified to receive an SRB and advise them that all periods of unserved obligated service will be deducted from their bonus entitlement. Any such discharges shall be under authority of Article 12.B.12., indicating discharge for the purpose of immediate reenlistment at the Convenience of the Government.

10. Tours of active duty in any U.S. Armed Forces (Regular or Reserve), including active duty for training, must be included in computing total active duty for the purpose of establishing SRB Zone eligibility. However, active duty for training periods may not be included in the computation of the 21 months continuous active duty.

11. Entitlement to SRB multiple and bonus ceiling is established on the actual date of reenlistment or the date the member executes an Agreement to Extend Enlistment by signing Form CG-3301B. Entitlement to any Zone of SRB is established only on the date the member reenlist or the extension becomes operative. (Example: A member executes an extension agreement on 15 June 2001, with the extension becoming effective 15 November 2001. The member initially entered the Coast Guard on 15 November 1995. If in an eligible rating, the member will be entitled to a Zone B SRB on 15 November 2001 based on the SRB multiples that were effective on 15 June 2001.)

12. Nonrated members without rating designators shall not be authorized to execute an Agreement to Extend Enlistment under any circumstance for the purpose of receiving an SRB multiple.

13. All Periods of unexecuted service obligation, except for a member discharged no more than 7 days early because expiration of enlistment falls on a Friday, Saturday, Sunday, or holiday or per the provisions of Article 3.C.5.6. above, will be deducted from SRB computation.

14. Changes to the SRB ceilings will be published in the same ALCOASTs which announce changes to SRB multiples.

15. Members eligible to reenlist, but who opt to be separated will be advised in writing that should they later elect to reenlist, they must do so within 3 months after discharge to be eligible for an SRB. (Provided that on the date of reenlistment the rating has a multiple listed in the current ALCOAST.)

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3.D. Officer Accession Bonus (OAB) Program

3.D.1. General

1. **The Officer Accession Bonus (OAB) program is an incentive to attract qualified applicants who possess designated critical skills into officer accession programs. This program applies to new officer accessions. The OAB is authorized under Title 37 U.S.C., Section 324.**

2. **As needs of the Service dictate, Commandant (CG-12) will convene a panel to identify officer skills that should be designated as critical. Title 37 U.S.C., Section 324 authorizes the Commandant to establish a monetary bonus for personnel who execute a written agreement to accept a commission as an officer, and serve on active duty in a designated critical officer skill for the period specified in that agreement.**

3.D.2. Glossary of Terms

1. **<u>Critical Officer Skill</u>. A skill may be designated as a critical officer skill, for the purpose of this chapter, if it meets the following:**

   a. **In order to meet the mission requirements of the Service, it is critical for the Coast Guard to have a sufficient number of officers who are qualified in that skill; and**

   b. **In order to mitigate a current or projected significant shortage of personnel in the Coast Guard who are qualified in that skill, it is critical to access into the Service in sufficient numbers persons who are qualified in that skill or are to be trained in that skill.**

2. **<u>Active Duty Service Commitment (ADSC)</u>. The ADSC is the number of years a person agrees to obligate service on an Officer Accession Bonus (OAB) agreement.**

3. **<u>Anniversary Date</u>. The anniversary date is the date that exactly corresponds to the date a person enters on active duty to begin serving the term designated by their OAB agreement. For example, if the person's first day on active duty on a four year OAB agreement is 10 July 2003, his/her year anniversary dates for bonus purposes would be 10 July 2004, 10 July 2005, 10 July 2006, and 10 July 2007.**

4. **<u>Unearned Bonus</u>. An Officer Accession Bonus paid to a member who has not served the active duty time.**

   EXAMPLE: A member contracts to serve four years on an OAB agreement earning him/her a total OAB of $40,000 ($10,000 for each year agreed to serve). One hundred percent ($40,000) of the OAB is paid upon successful

completion of the Direct Commission Officer program or graduation from Officer Candidate School. If the member is subsequently separated after serving only one year, the member has earned only one year's worth of the OAB ($10,000); the remaining portion that was paid in advance ($30,000), is unearned and may be recouped.

3.D.3. Maximum Bonus Amount

The maximum bonus amount for which a member can be paid an Officer Accession Bonus is $60,000. A panel of officers convened by CG-12 will determine the amount of bonus to be awarded a particular critical officer skill.

3.D.4. Maximum Term for Bonus Purposes

The maximum number of years for which an Officer Accession Bonus may be contracted is five years.

3.D.5. Method of Payment

Members will receive lump sum payment of their OAB on the payday after successful completion of the Direct Commission Officer program or graduation of Officer Candidate School.

3.D.6. Relationship to Other Entitlements

An Officer Accession Bonus paid under this chapter is in addition to any other pay and allowances that a member is entitled to receive. An individual may not receive an Officer Accession Bonus under this chapter for the same period of service agreed to upon by any other accession bonus program.

3.D.7. Eligibility Criteria

1. **To qualify for an Officer Accession Bonus, a member must:**

   a. **Meet standard qualification criteria for either a direct commission program or enrollment in officer candidate school, as detailed in the Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).**

   b. **Qualify for and agree to affiliate with an officer skill that has been determined by Commandant (CG-12) to be critical.**

   c. **Agree to serve a minimum of three years active duty in association with duties involved in a critical officer skill. This three-year period may run concurrent with obligated service required by either a direct commission program or by enrollment in officer candidate school.**

d. The OAB program is not currently available to Coast Guard active duty or reserve enlisted members seeking an officer appointment.

3.D.8. Recoupment for Failure to Commence or Complete Active Duty Service Commitment (ADSC)

1. Any unearned portion of an OAB will be recouped if an individual who, after having received lump sum payment of the accession bonus entitled to them by an Officer Accession Bonus agreement,

a. fails to accept a commission as an officer, or

b. fails to commence or complete the total period of active duty service specified in the OAB agreement,

c. commences flight school prior to completion of the OAB service agreement obligation.

2. The Coast Guard may waive, in whole or in part, the recoupment of any unearned OAB on a case-by-case basis if it is determined that recoupment would be against equity and good conscience or would be contrary to the best interests of the United States.

3. General Recoupment Procedures. When a member is no longer eligible to the Officer Accession Bonus, PSC will recoup paid but unearned bonus portions based on the effective date documented by the member's command.

4. Officer Accession Bonus Recoupment Calculations:

Recoupment calculations will be based on the Defense Finance and Accounting Services accounting method. Calculations are based on 360-day years, 30-day months. The initial daily rate is based on the lump sum payment divided by 360 days, divided by the number of contractual years. The total amount of recoupment will be based on the daily rate multiplied by the total number of days of unearned OAB based on a 30-day month. For example, calculations for a member who received an lump sum payment of $21,000 and then was separated 3 months prior to fulfilling a 3 year contractual requirement, would be as follows: $21,000(lump payment)/360(DFAS year/3 years) gives a daily rate of $19.44. Convert 3 MOS to 90 days and then multiplied by the daily rate: $19.44 X 90 = $1,749.60. The member would be required to pay back $1,749.60.

3.D.9. Responsibilities

1. **<u>Commandant (CG-122)</u>:**

   a. **Oversee the Officer Accession Bonus Program policy and resources;**

   b. **Promulgate and maintain a list of selected critical ratings eligible for an Officer Accession Bonus;**

   c. **As directed by (CG-12), convene a panel of officers to determine the following:**

      1) **Critical officer skill that may be offered an OAB,**

      2) **OAB amounts, and**

      3) **Length of OAB agreements.**

2. **<u>Commanding Officer, Personnel Service Center (PSC)</u>: Establish and maintain a system for paying and recouping Officer Accession Bonuses and publishes these procedures in the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series) and SDA-II User Guide, PSCINST 5231.2 (series).**

3. **<u>Commanding Officer, Coast Guard Recruiting Command (CGRC)</u>:**

   a. **Design and execute a marketing plan for the Coast Guard Officer Accession Bonus (OAB) Program as part of an overall effort to accomplish Coast Guard recruiting missions and goals;**

   b. **Ensure eligible members' Officer Accession Bonus agreements set forth the terms under which this bonus may be paid and recouped by completing the OAB agreement for each recipient of an Officer Accession Bonus.**

   c. **Provide by the fifth (5th) day of each month, a list of personnel accessed with an Officer Accession Bonus. Provide each recipient's name, social security number, accession and shipping date, including the critical officer skill, and other pertinent identifying data. The original report will be submitted to Commander (CGPC-opm) with copies to Commandant (CG-122), (CG-12A), PSC (MAS), and Superintendent Academy (SPO) if applicable.**

   d. **Recommend reallocation of funds budgeted for the OAB program to meet changes to the critical officer skills designated eligible to receive OABs.**

4. **Servicing Personnel Offices (SPOs): Ensure appropriate entries are made in accordance with Personnel and Pay Procedures Manual, PSCINST M1000.2 (series) and SDA-II User Guide, PSCINST 5231.2 (series), to pay Officer Accession Bonuses to eligible members and to recoup OAB payments on loss of eligibility.**

Exhibit 3.D.1

OFFICER ACCESSION BONUS (OAB) AGREEMENT

Privacy act statement
Authority: Title 37, U.S.C., Section 324

Purpose: to provide information necessary for the approval authority to determine if applicant meets all requirements for the award of an Officer Accession Bonus. Routine uses: for processing activities and approval authority to determine if applicant meets all eligibility requirements for the program. Use of SSN is necessary to make positive identification of individual records. Disclosure is voluntary, however, if the applicant does not provide the information no further action can be taken on the request and all further processing terminates.

An original and three copies of this form shall be prepared.

Recruiting Office:_____Date:_____

Prior to accessing in the United States Coast Guard and receiving an Officer Accession Bonus, I, _____understand that:
(Name/SSN)

1. **I have been offered an Officer Accession Bonus of $ _____ to affiliate with the _____ critical officer skill. In order to affiliate with this skill, I am entering the Coast Guard through (a direct commission program or enrollment in officer candidate school, list whichever is correct).**

2. **I agree to serve for _____ (minimum of three) years on active duty and to perform the duties in the critical officer skill for which the bonus is paid.**

3. **Method of Payment:**

   a. Direct Commission Officers: 100% of the total OAB will be paid upon successful completion of the Direct Commission Officer program. Any portion of the contractual agreement not completed will require repayment of that unearned portion of the OAB received.

b. <u>Officer Candidate School</u>: 100% of the total OAB will be paid upon successful graduation from OCS. Any portion of the contractual agreement not completed will require repayment of that unearned portion of OAB received.

4. My entitlement to an Officer Accession Bonus stops immediately if:

a. I fail to accept a commission as an officer, or

b. I fail to commence or complete the total period of active duty service specified in the Officer Accession Bonus (OAB) agreement, or

c. If accepted to flight school prior to completion of the OAB service agreement obligation.

5. Any portion of OAB paid me is considered a debt to the U. S. Government and will be recouped if my OAB entitlement stops due to the reasons stated in paragraph 4 above.

6. Per Title 37 U.S.C. 234, 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 OAB. If my OAB 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).

7. If I want to separate before I complete my ADSC, CGPC-opm must approve my request. CGPC will not be influenced by my offer to repay any unearned portion of OAB.

_____	_____
Signature of Recruiting Officer	**Signature of Applicant (full name)**

Date: _____

Copy: Applicant

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. Commander (CGPC-epm) may grant a second extension provided no other members request assignment to the same billet code number (BCN).

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) CG Liaisons FTG & ATG Little Creek Mayport Pearl Harbor San Diego	3/3 (All grades E-1 through E-9)			
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 TACLET, LEDET, HITRON-10 & ITD TRATEAMS (PAC & LANT) Norwegian Crewed Boats	3/3 (All grades E-1 through E-9)			
FT, GM, & RD 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 ANT Cape Hatteras ANT Port Mansfield ANT & STA Port O'Connor	3/3 (All grades E-1 through E-9)			
ANT & STA Venice	3/3 (All grades E-1 through E-9)			
AUXOP STA Apena AUXOP STA Sodus Group Cape Hatteras	3/3 (All grades E-1 through E-9)			
Light Station Boston	2/2 (All grades E-1 through E-9)			
LORSTA Malone LORSTA Nantucket (Note 6) LORSTA Raymondville MSO Morgan City Station Bayfield (Note 6) Station Brant Point (Note 6) Station Grand Isle **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)**	3/3 (All grades E-1 through E-9)			

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	2/2 (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)			
Samoa	2/2 (All grades E-1 through E-9)			
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)			
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 STA Chatham 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 STA Humboldt Bay STA Noyo River STA Golden Gate STA Morro Bay **STA Bodega Bay** STA Chetco River STA Depoe Bay STA Siuslaw River STA Cape Disappointment STA Coos Bay STA Grays Harbor	4/6 (All grades E-4 thru E-6) Note 5			4
STA Quillayute River	Note 5			3
STA Tillamook Bay STA Umpqua River STA Yaquina Bay 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.

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.)

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Exhibit 4.C.6 District Review Board Evaluation and Reporting Form, CG 5113

4.C. Assignment Process for Rated and Designated Members

4.C.1. Overview

4.C.1.a. General

Commander (CGPC-epm-2) will make assignments using a standardized process. The assignment process is commonly referred to as **the Assignment Year (AY), formerly S.P.E.A.R.** The **AY** process is designed to provide the following benefits:

1. Members have a greater number of **position** choices. Members can apply for **positions** that are expected to become vacant during the entire year;

2. All ratings are managed by a standard process. Non-routine transfers (such as those caused by retirements, releases from active duty (RELADs), **position** restructuring, medical cases, humanitarian assignments (HUMs), etc.) are handled on a case-by-case basis and given special consideration;

3. Routine transfers occur in the spring, summer, and early fall months, typically, March through September. This allows the majority of members to move during a time when it is more convenient for members and dependents; i.e., school concerns. Unit continuity and staggering issues will be closely monitored;

4. Assignment officers (AOs) are provided with a dedicated time to communicate with members, or their unit's point of contact (Unit POC) regarding their next assignment, before and while assignment decisions are made;

5. AOs, after having received member input through the **E-Resumes**, and telephone, have a larger pool of candidates to select from and have dedicated time to make logical and equitable decisions without interruption;

6. Expectations, roles and responsibilities of the member, command and AOs are clearly identified and communicated; and

7. A dedicated time is set aside for review of the assignment process (measurement and analysis).

4.C.1.b. The Assignment Year (AY) Process

Each year the AY timeline will be published by Commander (CGPC-epm-2) through a SITREP. Additional SITREPs will be published during the assignment year that will provide more specific guidance for the current AY.

The AY process will include the following:

1. **<u>Personnel Allowance List (PAL) Maintenance/Validation</u>. During this period commands should be validating their PAL to ensure an accurate reflection of where members are actually assigned within the command. If discrepancies exist, commands should contact the appropriate AO. This will ensure the correct positions are advertised to be filled in that specific AY. Also during this period, CACs and AOs will be performing maintenance to unit PALS, including moving members from unbudgeted positions to their assigned positions based on input from commands and orders issued during the previous AY.**

2. **<u>Counseling/Mentoring</u>. This period will be set aside for members to talk to their AOs. Members who will be tour-complete in the upcoming AY or anticipate reassignment as a result of advancement (primarily E-6 to E-7) should take this opportunity to contact AOs to receive career counseling, discuss E-Resume development, etc. Units deployed during this period may request a specific date/time for their members to call in and talk to their AO. AOs possess the most up to date knowledge regarding ratings and service trends.**

3. **<u>Command Visits</u>. During this period, command visits will be conducted IAW the process that will be outlined in the SITREP. The following will be provided by CGPC-epm-2 during each command visit:**

   a. **Review of unit PAL and personnel assigned.**

   b. **Review of positions to be advertised on the shopping list.**

   c. **Review command concerns, and recommended fleetups and extensions.**

   d. **Confirm receipt of E-Resumes that have been submitted.**

   e. **Discuss departing members E-Resumes.**

   f. **Additional information may be requested at time of scheduling the visit.**

   For those commands unable to visit, this information/support can be provided via e-mail/phone at the request of the command.

4. **<u>Identify and execute fleet-ups</u>. During this period, AOs will:**

   a. **Identify members advanced/above the cut who are not tour complete.**

b. Identify vacancies/projected vacancies at those units.

c. Determine qualifications and paygrade match.

d. Determine appropriateness of fleet-up.

e. Issue orders for fleet-ups.

5. <u>Command Concerns (COMCONs)</u>. COMCONs are the primary medium for commands to communicate enlisted personnel assignment issues that may impact the operational readiness of your unit during the AY. COMCONs will play an integral role in the assignment process by identifying personnel qualification requirements, as well as what positions will remain vacant due to personnel shortages.

a. COMCONs should address:

(1) Discrepancies in unit PAL.

(2) Anticipated RELADs for the AY.

(3) Projected retirements during the AY.

(4) Pending medical issues that might impact AY transfers.

(5) Fleet-up opportunities.

(6) Specific qualification/skill requirements.

(a) Request commands submit COMCONs by e-mail or message. Letters will be accepted for commands who do not have e-mail or message access.

(b) Unless specifically directed to use alternate POC, XOs/XPOs will act as unit POC in COMCON submission.

6. <u>Publish Shopping List</u>. The shopping list will contain current and projected vacancies resulting from:

a. Tour-complete members.

b. Separations (Retirements, RELADs, etc.).

c. Advancements (that necessitate vacancies, primarily E-6 to E-7).

d. Accessions (OCS, CWO, DCE, etc.).

e. Any new Military staffing requirements.

Members will have approximately 60 days to complete an updated E-Resume after the shopping list is published.

7. <u>Validate Shopping List</u>. During this period, commands should review the published shopping list to ensure that all positions expected to be filled during the upcoming AY are being advertised. If discrepancies are noted or new information concerning personnel becomes available which impacts the shopping list, commands should contact the appropriate AO.

8. <u>Identify a pool of candidates</u>. During this period, AOs will be identifying the pool of candidates available for transfer. The primary pool consists of and/or will be impacted by:

a. Tour-complete members.

b. Special Assignments releases/returns.

c. Advancements (for non-tour complete, primarily members advancing to E-7 and enlisted members selected to CWO, OCS, DCE, etc.

9. <u>Prioritize position fills</u>. During this period, the AOs will be prioritizing vacancies based on:

a. Assignment Category (e.g., afloat, operational ashore, operational support, general support/ADMIN).

b. Unit readiness status.

10. <u>Prioritize and select candidates</u>. Coordinate reporting dates; and issue orders. AO's will outline how they will execute the selection process with associated timelines in the SITREPs. This process may vary slightly based on strength of rating and available pool of Petty Officers. However, in most cases, the selection process will be carried out as follows:

a. From the pool of candidates requesting the position on their E-Resume, identify all qualified candidates:

(1) Paygrade (+/-) one paygrade for E6 & positions.

(2) Appropriate qualifications/assignment history.

b. If more than one qualified candidate requested the position, identify candidate(s) with the highest assignment priority.

c. If more than one has highest assignment priority, determine candidate with the strongest performance history and skill set.

d. If no one requested that position, identify all qualified candidates:

(1) Appropriate assignment history.

(2) Lowest assignment priority.

(3) Requested that geographical area.

(4) Advancement requirements (e.g. sea duty).

4.C.1.c. Non-Routine Assignments

It becomes necessary sometimes to make assignments outside the normal standardized enlisted assignment process as a result of **position** changes and unplanned or unexpected **position** vacancies throughout the year. The AOs will take into consideration all factors, issues and inputs; e.g., command concerns, member's desires and career development, and the needs of the Service, to assign members to these **positions**. Article 4.C.1.

4.C.2. Communicating with Assignment Officers

4.C.2.a. The E-Resume

1. The **E-Resume**, is the primary method for members to communicate their assignment desires. The importance of an enlisted member keeping his or her **E-Resume** current is critical. Members should submit a new **E-Resume** anytime they need to update information. Accurate and timely submission of this data provides Commander (CGPC-epm-2) with important information when considering assignments. Requests for certain duty; i.e., recruiting, National Strike Force, executive petty officer, officer in charge, etc. must have appropriate endorsements. Article 4.E.1.

   a. Members must submit an **E-Resume** within six months of arriving at their new duty station. The purpose of this **E-Resume** is to ensure all personal data (i.e., address, phone number, family status, etc.) is updated and to provides valuable information for the AOs on the member's next desired assignment or type of duty.

   b. Members should submit an **E-Resume during the time frame listed in the AY SITREP** if they will become tour complete in the next calendar year

(Article 4.C.1.b.). **Members' E-Resumes shall be well-crafted with numerous choices that are both reasonable and realistic. They should provide comments that succinctly capture their skills, qualification, experience, and knowledge which make them the best candidate for their top choices.** Members who do NOT have a current **E-Resume** on file **by the stated deadline** will lose their assignment priority.

c. Command endorsements on **E-Resumes** are critical to the efficient and effective reassignment. Individual qualities and traits should be addressed in command endorsements in order to enhance the enlisted assignment process.

2. The **E-Resume** is also the primary method for "A" School students and strikers to communicate their assignment desires. "A" Schools will ensure that each student submits an **E-Resume** at least five weeks prior to graduation. School chiefs are authorized to endorse the student's **E-Resume** in place of the command, if the training command so delegates.

3. Commands with Strikers assigned will ensure that each striker upon designation submits an **E-Resume** to Commander, (CGPC-epm-2). Upon designation, members are considered available for transfer regardless of their proximity to tour completion.

4.C.2.b. Letter Correspondence

Letter correspondence, although not required nor encouraged from a member, will be accepted by the AO and considered when making assignments.

4.C.2.c. FAX or Express Mail

Electronic facsimile (FAX) or Express Mail of **E-Resumes** will NOT be accepted, unless specifically requested by the member's AO when quick receipt is required.

4.C.2.d. Electronic Mail (E-Mail)

Electronic mail (E-Mail) directly from members to AOs is <u>prohibited</u> and will <u>NOT</u> be acknowledged **unless specifically requested by an AO**. E-Mail to Commander, (CGPC-epm-2) will be accepted from the unit POC. Response via E-Mail is often impossible due to system constraints; therefore the unit POC's name and phone number should be included on all correspondence.

4.C.2.e. Telephone Calls

1. Telephone calls from members directly to AOs should be made only during **the designated time as stated in the AY SITREP or when specifically directed by the AO.** In most cases, it is only necessary for the unit POC to call Commander (CGPC-epm-2) (AOs or CACs).

2. Telephone calls from "A" School students to AOs are NOT authorized. School chiefs can make any necessary calls on behalf of their students.

4.C.2.f. Unit POCs

1. Each command should appoint a unit Point of Contact (POC). The unit POC is normally at the middle or senior management level, such as a leading chief, CMC, XPO, XO, or OIC. Their knowledge of the unit's operational needs, expected changes, understanding of the local housing situation and knowledge of their members is invaluable to the transfer process. In addition, the unit POC should provide career counseling and general assignment information.

2. If a member's situation does not fit into one of the above scenarios, or the member has a non-assignment related question, the member must receive local counseling before contacting Commander (CGPC-epm-2). The designated unit POC should try to resolve the member's concerns using existing available resources; e.g., CMC, Career Information Specialist, Training Officer, publications, directives, etc. If it is absolutely necessary for Commander (CGPC-epm-2) to become involved, the unit POC will notify them of the situation, then Commander (CGPC-epm-2) will contact the member.

3. "A" School chiefs are authorized and expected to assume the role of unit POC for all students and provide appropriate career counseling.

4.C.3. Assignment policy upon advancement

4.C.3.a. Service Needs

When a member advances and desires to remain in his or her current assignment, every effort will be made to retain the member until tour completion, unless Service needs dictate otherwise. If a member desires reassignment upon advancement, Aos will consider, on a case-by-case basis, the reassignment of the member based on the needs of the Service. Every effort will be made to minimize the number of transfers upon advancement, but personnel should not compete for advancement unless they are prepared to be transferred to fill **any authorized vacant position** in the next higher pay grade.

4.C.3.b. Position Vacancies

Enlisted advancements occur when a vacancy is created in the higher pay grade. This means that a need exists for a member in the higher pay grade to fill a higher pay grade **position**. Although every effort will be made to minimize unscheduled, unplanned, and transfers prior to tour completion, these may be required to meet Service needs. While the Senior Enlisted Assignment Policy (SEAP) (Article 4.C.3.d.) and Petty Officer Assignment Policy (POAP) (Article 4.C.3.g.) provide

flexibility for members and Commander (CGPC-epm-2), some unscheduled transfers will be necessary. A member who advances to E-7 should expect to be reassigned to an E-7 **position** as soon as possible, usually within one year after advancement. (Article 4.C.3.e.)

4.C.3.c. Assignment Officer Priorities for Assignments

AOs will fill vacant **positions** with a member in the identified pay grade, when available within other Service needs. If there are no tour complete members in the pay grade available for transfer to fill a vacant **position**, the AO will use the following ordered priority:

1. Members on current advancement eligibility list above the cutoff.

2. Members in the identified pay grade who are tour complete within the next assignment season or year.

3. Using SEAP or POAP:

   a. Members qualified for the next higher pay grade SWE.

   b. Members with a favorable commanding officer's written endorsement.

4.C.3.d. Senior Enlisted Assignment Policy (SEAP)

1. AOs will fill vacant **positions** with the identified pay grade; i.e., E-9 to E-9 **position**, E- 8 to E-8 **position**, etc. However, if there are no available personnel in the pay grade to fill a vacant **position**, the following procedures will be used by the AO based on Service needs:

   a. A newly advanced E-7 may fill only E-7 **positions** and must remain three years in grade before becoming eligible for an E-8 **position**. This requirement is non-waiverable.

   b. An E-7 with three or more years in grade and a favorable command endorsement may fill an E-8 **position** (except an Officer in Charge afloat **position**), when there are no qualified E-8s available for assignment.

   c. An E-8 may fill any E-7 or E-9 **position** (except exclusive E-9 assignments) when there are no qualified E-7s or E-9s available for those assignments. For E-9 assignments, members must receive a favorable command endorsement. In a situation where there are no E-8s available for an E-8 assignment, E-9s will have assignment priority over E-7s.

   d. An E-9 may fill any E-8 or E-9 **position**. **Positions** which will be exclusively filled by E-9s are: Command Master Chiefs (CMCs); Senior Servicewide

Examination (SWE) writers; CPO Academy School Chief; **and Rating Force Master Chiefs (RFMCs).**

2. When considering assigning a member to a higher or lower pay grade **position**, the AO will first contact the receiving command for their input to be weighed in the assignment decision.

3. Members in an out-of-pay-grade assignment should anticipate returning to a **position** in their pay grade upon tour completion.

4. When a member requests assignment to a higher pay grade **position**, commands shall provide a written endorsement on the member's **E-Resume**. When recommending a member for a higher pay grade **position**, commands should consider whether they would favorably recommend the member for advancement to the next higher pay grade. This endorsement shall include a recommendation for assignment to a higher pay grade and a statement indicating completion of performance factors for the higher pay grade.

4.C.3.e. Assigning Newly Advanced Personnel E-4 to E-9

Advancements recognize the member's accomplishments and reaffirm the Service's faith and confidence in the member to assume positions of increased leadership and responsibility. It is important for members and commands to remember advancements are possible only because position vacancies exist somewhere in the Service, so transfers to fill those vacancies are likely to occur. Assignment Officers (AO) consider these factors when members advance:

1. "Service Need" is the main criterion in determining when or where to assign a newly advanced member.

2. A member advanced while filling a Special Assignment position normally remains in that position until tour-complete.

3. Newly advanced members considered for Command Cadre assignments are still required to meet those assignments' qualifications and screening requirements. Fleeting up or transferring to a Command Cadre position is not automatic

4. Newly advanced E-7s normally transfer to an E-7 position within one year of their advancement.

5. Assignment Officers follow these procedures when assigning newly advanced E-4s to E-9s:

   a. The AO uses the Senior Enlisted Assignment Policy (SEAP) or Petty Officer Assignment Policy (POAP) to determine whether the newly advanced member can continue to occupy his or her current **position**.

b. If a member cannot continue to fill his or her current position, the AO attempts to allow him or her to fleet up at the same command if a vacancy exists and there is not a greater Service need elsewhere.

c. If the current unit has no vacancy, the AO attempts to assign the member to a vacancy in the same geographic area.

d. If the geographic area has no vacancy, the member should expect transfer to a **position** out of the area.

4.C.3.f. Projected Advancement to Chief Petty Officer

A member projected for advancement to E-7; i.e., above the cut, on the advancement eligibility list, must submit an **E-Resume** within 30 days of his or her name appearing on the list indicating the member's desired E-7 **positions**. The ultimate decision on an assignment will **normally be based on the following:**

1. **Service needs and position availability**

2. **Unit readiness needs**

3. **Member's desires**

4. **Job experience**

5. Further advancement opportunity

6. Proximity to tour completion

7. Training qualifications

4.C.3.g. Petty Officer Assignment Policy (POAP)

1. AOs will **continue** to make every effort to fill vacant **positions** with the identified pay grade; i.e., E-4 to E-4, E-5 to E-5, and E-6 to E-6. However, if there are no tour complete members available for transfer in the respective pay grade to fill a vacant **position**, the following procedures will be used by the Assignment Officer:

   a. E-4s with less than two years time in grade shall not be assigned to an E-5 independent duty **position**.

   b. Available E-4s may be assigned to vacant E-5 **positions** when there are no qualified E-5s available for the assignment.

c. Available E-5s may be assigned to vacant E-4 or E-6 **positions** when there are no qualified E-4s or E-6s available for the assignment. E-4s will have priority over E-6s for vacant E-5 assignments to enhance career growth.

d. An E-6 is not intended to fill an E-5 **position**. However, an E-6 may be assigned to an E-5 **position** based on Service needs.

e. **Positions** which will be filled exclusively by the designated pay grade are: Officer in Charge (OIC), Executive Petty Officer (XPO), and Engineer Petty Officer (EPO), unless Service need dictates otherwise.

2. A member will submit an **E-Resume** within 30 days of his or her name appearing above the cutoff on the advancement eligibility list. Obviously, some members may want to remain in their current **position**; other members will request reassignment. AOs will carefully consider the member's desires in making these assignments.

3. When a member advances, every effort will be made to maintain geographic stability for the benefit of the member and the Coast Guard. Any assignment action will be dependent upon:

   a. Service needs **and position availability**

   b. Unit readiness needs

   c. Member's desires

   d. Job experience

   e. Further advancement opportunity

   f. Proximity to tour completion

   g. Training qualifications

4. When a member's command feels the rationale provided for reassignment is inadequate, the commanding officer or his or her representative should seek further explanation from Commander (CGPC-epm).

5. When considering candidates for a higher pay grade **position**, the AO will use the following ordered priority:

   a. Members on current advancement list

   b. Members qualified for the next higher pay grade SWE

c. Members with a favorable command endorsement

d. Tour lengths for E-5s filling E-6 **positions** INCONUS ashore will be four years. Tour lengths for E-6s filling E-5 **positions** INCONUS ashore will be four years.

e. When considering assigning a member to a higher pay grade position where the member will be the senior member of that rating on board the unit, the AO will first contact the receiving command for their input to be weighed in the assignment decision.

f. When a member is not on the current advancement list and requests assignment to a higher pay grade **position**, he or she shall submit an **E-Resume** with higher pay grade **positions** and the command's endorsement. This endorsement shall include a recommendation for assignment to the higher pay grade and a statement indicating completion of performance requirements for the higher pay grade.

4.C.4. Assignment of Strikers and “A” School Graduates and Disenrollees

4.C.4.a. General

1. Service need is the primary factor in assigning designated strikers and “A” School graduates. Commander (CGPC-epm-2) will assign these members to third class petty officer (E-4) **positions** throughout the Coast Guard.

2. SPOs shall notify Commander (CGPC-epm-2) by message of those personnel placed on the striker advancement list. Mere placement of members' names on the striker advancement list does not necessarily imply that a transfer is forthcoming.

3. Advance notice of transfer and assignment priority do NOT apply to these members. (Articles 4.B.2. and 4.B.4.)

4.C.4.b. Reassignment of Class “A” School Disenrollees

1. Regardless of the reason for disenrollment, each training center shall send a message stating the circumstances of the case to the member's previous unit, Commander (CGPC-epm-2), and the previous unit's chain of command. This message should also include the information outlined in Article 4.F.5.a. All Class "A" School training commands shall request assignment of disenrollees by message to Commander (CGPC-epm-2) within 72 hours of a member's disenrollment. The message shall include the following information:

   a. Disenrollee's name and **EMPLID number**

b. Reason for disenrollment (i.e., ineligibility, member's request, fault due to member's own actions, academic, or other - explain)

c. Date disenrolled

d. Date reported to training command

e. Type of orders under which member was directed to attend school (PCS/TEMDUINS, PCS/DUINS, or TEMADDINS)

f. Number of dependent(s)

g. Location of dependent(s)

h. At least four assignment choices

2. Commander (CGPC-epm-2) will utilize the following guidelines when responding to a disenrollment message:

3. For a no-fault disenrollment, which includes academic failure despite member's best efforts to succeed, injuries in the line of duty, or bona fide family emergencies, Commander (CGPC-epm-2) will normally transfer the member to a unit near the training center based on Service needs. The member may resubmit another Class “A” School Training Request (CG-5286) immediately upon disenrollment. After two no-fault disenrollments, the member is prohibited from reapplying to any “A” School for one year from the date of second disenrollment.

4. For a fault disenrollment, which includes cheating, misconduct, injuries not in the line of duty, non-judicial punishment, individual not petty officer material, or voluntary disenrollment, Commander (CGPC-epm-2) will transfer the individual to meet Service needs. The member is prohibited from reapplying to any "A" School for one year from the date of disenrollment.

5. **For a failure to meet eligibility requirements, which includes failure to meet obligated service requirements (Article 4.B.6. and Training and Education Manual, COMDTINST M1500.10 (series)); minimum training prerequisites, or weight/physical fitness standards, COMDTINST M1020.8(series), Commander (CGPC-epm-2) will normally transfer the member back to his or her previous unit.**

4.C.5. Duties of Medical Personnel and Geneva Convention

4.C.5.a. Primary Duties Other than Medical

Members trained for medical duties such as Health Services Technicians who are assigned primary duties by Commander (CGPC-epm-2) other than medical, are not considered medical personnel for the purposes of the Geneva Convention. These primary duties may include, but are not limited to, Special Agent, Recruit Company Commander, and Ceremonial Honor Guard. Members so assigned will not have any exemptions or protections provided for medical personnel by the Geneva Convention.

4.C.5.b. Utilization of Medical Personnel

Commanding officers are authorized to assign medical personnel whose primary duties are health care, to general duties, except as noted below:

1. Medical personnel are not to be utilized for duties that require the bearing of arms (except for the limited purposes allowed by the Geneva Conventions for their own defense or protection of the wounded and sick in their charge), even though the bearing of arms may be purely ceremonial.

2. Medical personnel are not to be utilized for combat duties that are not related to medical care or administration.

4.C.6. Assignment as Officer In Charge (OIC)

4.C.6.a. Program Manager

Commandant (G-OCS) is the Headquarters program manager responsible for OIC Review Board procedures. Commandant (G-OCS) will maintain the Review Board process and shall:

1. **Conduct periodic reviews of the process.**

2. **Update policy and procedures as needed.**

3. **Change policy and procedures as needed.**

4. **Provide feedback to Area/District OIC Review Board Coordinators.**

5. **Implement measurement procedures and capture data, to include: pass/fail rates, and reasons people did not pass.**

6. **Interact with the OIC/XPO school: Provide data on weak areas common to large numbers of OIC candidates for additional emphasis in future OIC/XPO classes.**

Recommended changes to, or comments regarding, the OIC Review Board process shall be forwarded to Commandant (G-OCS).

4.C.6.b. General

1. Currently, OIC positions exist in the boatswain's mate (BM) and electronics technician (ET) ratings. All members assigned to OIC positions require certification that they are OIC qualified. BMs must be certified by a District/Group Pre-Board, followed by an Area/District Review Board. ETs are certified by a Headquarters screening of Personnel Data Records (PDRs) and command recommendations conducted by Commander (CGPC-epm-2), and appropriate program managers. This section of the Personnel Manual will be updated by the Program Manager, Commandant (G-OCS) to reflect ratings mergers as they occur. For information purposes, all OIC **positions** are published and annotated in the Enlisted Billet Manual, COMDTINST M5320.6 (series).

2. OIC Review Boards may ask questions to determine if a candidate is suitable for an OIC assignment Coast Guard-wide. Questions should be based on Coast Guard-wide operations and not limited to a particular district's procedures. Written tests and questions which are graded elsewhere are discouraged. Boards should ask open-ended questions to determine a candidate's leadership, ethics, and professionalism. **Board Members shall be directed to refrain from asking obscure questions not directly related to command.** Topics covered should include, but not be limited to:

   a. Professional or technical knowledge for the certification desired.

   b. Fraternization and unprofessional relationships.

   c. Personal ethics.

   d. Command ethics.

   e. Safety.

   f. Welfare and support of dependents.

   g. Minorities and women in the Coast Guard.

   h. Drug or alcohol use and symptoms of alcohol abuse.

   i. Knowledge of family programs and abuse.

   j. Financial management practices.

   k. Small unit budgeting.

   l. General mess operations.

   m. Small unit training programs.

   n. Personnel management issues.

3. **OIC Review Boards should be abbreviated appropriately for candidates who have already earned OIC certification but are sitting before the board seeking additional qualification codes. The Board President shall provide specific guidance in these instances.**

Note 1. BMs are required to be certified ashore and afloat, multi-mission or ATON, for advancement to BMCS and BMCM. ETs currently have no requirement to be OIC certified for advancement to E-8 or E-9.

Note 2. BMs, unless previously certified for both ashore and afloat OIC, should request to be scheduled for an OIC review board within one year of advancement to BMC. BM1's with over two years time in grade may be scheduled for the review board. BM1s who have less than two years' time in grade but who have served satisfactorily for 12 consecutive months in a designated XPO position may also be scheduled for the review board. Board certification of a BM's capability to serve as OIC ashore and afloat will be mandatory prior to participation in the BMCS or BMCM SWE. No waivers will be given. BMs who are already in paygrade E-8 and do not hold an OIC ashore and afloat certification, (i.e., certification rescinded after advancement to E-8), may not compete in the BMCM SWE until they receive certification. BMCs or BMCSs who lose certification due to a relief for cause may not compete in the SWE for the next pay grade until again appear before a District/Area Review Board and are recertified.

Note 3. All members who have had their certification removed for cause must wait a minimum of two years after removal to be eligible for recertification.

4.C.6.c. OIC Review Board Coordinator

The Pacific Area Commander and Atlantic District Commanders shall designate, in writing, an OIC Review Board Coordinator. The Board Coordinator has the overall responsibility to conduct the Board and supervises the entire process. The Board Coordinator is responsible for all aspects of establishing the Board including determining timelines, location, obtaining supplies, and coordinating with the Board President in the selection of the Board members.

The coordinator shall:

1. **Release a solicitation message for each board.**

2. **Coordinate logistics.**

3. **Handle administrative requirements.**

4. **Collect candidates' packages – 6-part folder should match what is required for Headquarters screening package.**

5. **Arrange TONOs.**

6. **Coordinate Board Member Selection with the Board President.**

7. **Assist with Pre-Boards.**

8. **Work with the President for proper organization and conduct of the Board.**

9. **Assist with the Boards as needed, e.g. escort candidates, provide additional material/information on candidates, document results, etc.**

10. **Provide follow-up documentation, e.g. Board Results letter, Form CG-5113, etc.**

4.C.6.d. Request to Appear Before the Area/District OIC Review Board

1. **Prior to 15 March and 15 September of each year, the Area, District, and Maintenance and Logistic Commanders (MLCs) or Headquarters' unit commanding officers shall direct their respective units to submit a list of qualified BM OIC candidates to the respective OIC Review Board Coordinator. Candidates assigned to Headquarters, Atlantic Area or MLC units shall be considered by OIC Review Boards convened at the district in which their unit is geographically located.**

2. **Commanding officers and OICs shall submit by letter their evaluations of candidates to the respective OIC Review Board Coordinator. The evaluation shall consist of an Enlisted Employee Review, along with command recommendations and comments. For candidates attempting to re-certify after a relief for cause, command endorsements should specifically address improvements in the areas identified as problems at the time of relief.**

3. **Overweight candidates or those on probation for weight in accordance with Weight/Physical Fitness Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series) will not be permitted to appear before the OIC Review Board.**

4.C.6.e. Area/District OIC Review Board Procedures

1. **The Pacific Area Commander and Atlantic District Commanders shall convene an Area/District Review Board semiannually during April and October to consider enlisted members for OIC certification. The Board shall consist of:**

   a. **A senior officer with prior command experience.**

   b. **A CWO (ENG) either currently serving or with recent experience as a group or sector engineer.**

c. CWO, BMCM, or BMCS either currently serving or with recent command afloat multi-mission experience.

d. District Command Master Chief (CMC).

e. A family program advocate (FPA).

f. CWO, BMCM, or BMCS either currently serving or with recent ATON command afloat experience (for candidates screening for ATON).

2. Board President

a. Area/District commanders shall designate an OIC Review Board President in writing. The Board President must be a senior officer with prior command experience who will work closely with the OIC Review Board Coordinator to review procedures and processes. In addition, the Board President shall:

(1) Choose Board members.

(2) Review list of candidates to determine which certifications are being sought.

(3) Review candidates' prior OIC Review Board results for those seeking additional certification.

(4) Review candidates' prior OIC Review Board results for those who have previously appeared before a board and did not achieve certification.

(5) Meet with board members prior to OIC Review Board convening to establish conduct of the Board.

(6) Ensure that board members' questions adhere strictly to Article 4.C.6.b., paragraph 2, of this manual.

(7) Ensure that proper feedback is provided to each candidate. All unsatisfactory categories on Form CG-5113 shall have specifics listed to ensure the candidate has a clear understanding of which topics need improvement prior to their next board.

3. In screening OIC candidates the Board shall:

a. Require the candidate to appear before the Board.

b. Ensure that records available to the Board include the candidate's PDR, health record, training record, and the command's recommendation. Candidates may submit a letter to the President of the Board and include any attachments they feel the Board should consider.

c. Ensure candidate's PDR is carefully reviewed to evaluate his or her capabilities and that the candidate has no enlisted evaluation characteristic average below four for any factor in each marking period for the previous two years, and has no marks less than four on the last regular evaluation.

d. Ensure the candidate has met current Rules of the Road requirements in accordance with the Cutter Training and Qualification Manual, COMDTINST M3502.4 (series). Those not in compliance will not receive OIC certification of any type until the requirement is met.

e. Review and utilize the following publications, manuals, or directives as references in the evaluation of the candidates:

(1) U.S. Coast Guard Addendum to the United States National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual, COMDTINST M16130.2 (series).

(2) Aids to Navigation Manual - Positioning, COMDTINST M16500.1 (series); Aids to Navigation Manual – Technical, COMDTINST M16500.3 (series); Aids to Navigation Manual – Administration, COMDTINST M16500.7 (series); Aids to Navigation Manual – Radionavigation, COMDTINST M16500.13 (series); Aids to Navigation Positioning Datums, COMDTINST 16500.20 (series)

(3) Naval Engineering Manual, COMDTINST M9000.6 (series)

(4) Civil Engineering Manual, COMDTINST M11000.11 (series)

(5) U.S. Coast Guard Boat Operations and Training (BOAT) Manual, Volume I, COMDTINST M16114.32 (series).

(6) Family Advocacy Program, COMDTINST 1750.7 (series)

(7) Command at Sea Orientation Publication, COMDTPUB P1500.17 (series)

(8) United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series)

(9) Manual for Courts-Martial

(10) Coast Guard Investigations Manual, COMDTINST M5527.1 (series)

(11) Ordnance Manual, COMDTINST M8000.2 (series)

f. Determine the candidate's ability to command and, where appropriate, certify the individual as:

(1) Qualified to command afloat multi-mission (Qual Code OC).

(2) Qualified to command afloat ATON (Qual Code OD).

(3) Qualified to command ashore multi-mission (Qual Code OA).

(4) Qualified to command ashore ATON (Qual Code OB).

(5) Qualified to command both ashore and afloat multi-mission (Qual Code OE).

(6) Qualified to command both ashore and afloat ATON (Qual Code OF).

g. Candidates for command afloat, multi-mission or ATON, must have an afloat underway OOD letter. (<u>No waivers</u>.) Candidates for command ashore multi-mission or ATON must have been qualified as a coxswain on a standard boat 25 feet or greater in length. (<u>No waivers</u>.)

4.C.6.f. OIC Pre-Board

1. All candidates shall be screened at an OIC Pre-Board by the member's OPCON. The Pre-Board shall mirror, as closely as possible, the procedures for the Area/District OIC Review Board as detailed in Article 4.C.6.e.

2. Pre-Board panels shall mirror the Area/District boards as reasonably as possible, in accordance with Article 4.C.6.e.

3. Pre-Board questions and topics shall be in accordance with Article 4.C.6.b.2.

4. Afloat units should check with their respective OIC Review Board Coordinator for the location of the Pre-Board. Underway Commands can request to conduct their own Pre-Boards when OPTEMPO dictates.

5. The Pre-Board shall evaluate, assist, and ensure only potentially fully qualified members appear before the Area/District OIC Review Board. Those members that the Pre-Board finds not prepared for the Area/District OIC Review Board shall be provided specific written guidance in the areas where they need improvement.

6. The Pre-Board will provide a list of qualified candidates to the appropriate Area/District OIC Review Board NLT 30 days prior to the announced OIC Review Board date.

4.C.6.g. Pre-Board and Area/District Review Board Results

1. **Results of the Pre-Board and Area/District Review Board for each candidate shall be recorded on District Review Board Evaluation and Reporting Form, CG-5113 (revised 7/03). See Exhibit 4.C.6.**

   a. **All Pre-Board evaluation forms shall be forwarded to the Area/District Review Board as part of each candidate's package NLT two weeks before the Area/District OIC Review Board is scheduled to meet.**

   b. **All Area/District evaluation forms shall be forwarded to the Area/District commander, via the respective OIC Review Board Coordinator, for transmittal under one cover letter to Commander (CGPC-epm-2), no later than 01 May and 01 November each year.**

2. **Results of the Area/District OIC Review Board shall be made a part of the member's PDR.**

3. **Each individual considered by the Area/District OIC Review Board shall be apprised of his or her recommendations by letter from the Board via the chain of command. The following minimum remarks are required:**

   You have been found qualified to command _____ (afloat and/or ashore), _____ (multi-mission and/or ATON) by the recent Area/District OIC Review Board. As a result of this certification, your commanding officer is authorized to assign you qualification code(s) _____.

   OR

   You have been found not qualified for assignment to a certified OIC position. If you desire to be reconsidered by a subsequent Area/District OIC Review Board, you must submit a request to your district commander on an E-Resume in Direct Access with your command's endorsement.

4. **Personnel reporting units shall enter the results of the Area/District OIC Review Board on an Administrative Remarks (CG-3307) and assign appropriate qualification codes.**

5. **OIC certification remains in effect indefinitely unless removed by Commander (CGPC-epm-2). Those members who have been serving in non-operational positions may be required to appear before a board for confirmation prior to OIC assignment. This will occur if time since last underway assignment exceeds 7 years, or prior qualification as coxswain on a small boat (of greater than 25 feet) exceeds 7 years.**

4.C.6.h. Assignment as OIC

OIC positions currently exist in the BM and ET ratings.

1. **Assigning enlisted personnel to OIC positions is the responsibility of Commander (CGPC-epm-2).**

2. **These assignments require a careful screening process because of the high degree of competence and skill required for independent operation. Proven leadership and performance, proper background experience, maturity, dedication, and professionalism are requisite qualifications for command.**

3. **As a matter of career planning, petty officers who aspire to command should request appropriate executive petty officer (XPO) assignments or other leadership positions in order to gain necessary experience. For example: 1st LT on a WPB, OPS PO at a large station, etc.**

4.C.6.i. Submission of Request

1. **Requests for assignment as OIC shall be submitted to Commander (CGPC-epm-2) through the commanding officer on the E-Resume. Applications should be submitted one year in advance of desired assignment.**

2. **Commands can now review members' performance marks through the Enlisted Employee Review Summaries in Direct Access.**

3. **The commanding officer or group commander shall endorse the request to include comments regarding the applicant's:**

   a. **Performance in leadership positions and overall performance.**

   b. **Depth of professional knowledge.**

   c. **Ability to demonstrate sound judgment.**

   d. **Ability to work harmoniously with others.**

   e. **Consistency in presenting a smart military bearing and appearance.**

4.C.6.j. Qualifications for Assignment

1. **Candidates must have no marks less than four on their enlisted evaluation or a mark of unsatisfactory in conduct for the last two years.**

2. **Individuals may have no record of civil arrest, court martial, non-judicial punishment (NJP), alcoholism, drug misuse, indebtedness, etc., for the last two years.**

3. **Candidates may have no physical impairment that precludes worldwide assignment.**

4. **Individuals must meet the Commandant's weight standards in accordance with the Weight/Physical Fitness Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series).**

5. **BMs not having satisfactorily served afloat in the past seven years or who have not actively maintained certification as coxswain on boats greater than 25 feet within the last seven years will not normally be assigned as OIC afloat.**

4.C.6.k. Assignment Policy

1. **Commander (CGPC-epm-2) will assign personnel to OIC positions based upon:**

   a. **Demonstrated leadership and performance.**

   b. **Command recommendation.**

   c. **Career experience. BMs who have successfully completed an XPO assignment or have one year deck watch officer experience will have consideration over those who do not have this experience. ETs with recent LORAN experience will have consideration over those who do not have this experience.**

   d. **Availability of assignments.**

   e. **Personal preference.**

2. **Reporting dates will be scheduled to provide an onboard relief with a suitable break-in period.**

3. **OIC tour lengths will be as prescribed in Article 4.A.5.b. To ensure operational readiness, some flexibility in tour length will be necessary to phase rotations between the OIC and XPO. Otherwise, extensions will not normally be granted.**

4. **Personnel selected for an OIC assignment overseas or afloat should anticipate attending training nine months prior to their assignment.**

5. **The removal of an OIC for substandard performance may be effected by the Commandant at the recommendation of the chain of command. If a commanding officer considers a member not qualified due to performance**

deficiencies or disciplinary action, a request for removal shall be submitted to Commandant (CG-12) via the chain of command. Removal from an OIC position will be in accordance with Article 4.F.4.

4.C.6.l. Special Duty Assignment Pay (SDAP) and Relief for Cause (RFC) Procedures

1. **General. Legislative Authority, 37 U.S.C. 307, authorizes the Coast Guard to pay personnel Special Duty Assignment Pay (SDAP) "both as a retention incentive to perform extremely demanding duties or duties demanding an unusual degree of responsibility and as an inducement to persuade qualified personnel to volunteer for such duties." In accordance with law, SDAP is paid at the Coast Guard's discretion as prescribed in regulations established by Commandant (CG-1). Special Duty Assignment Pay (SDAP), COMDTINST 1430.1 (series) establishes regulations for managing SDAP.**

2. **SDAP and RFC procedures. As authorized by law and established in regulation, the Coast Guard may terminate SDAP for a variety of reasons, including when a member is temporarily relieved for cause (RFC). See Special Duty Assignment Pay (SDAP), COMDTINST 1430.1 (series) and Article 4.F.4. for specific procedures on payment or termination of SDAP during RFC.**

4.C.7 Assignment as Engineering Petty Officer (EPO)

4.C.7.a. General

Certain **engineering positions** require exceptionally well-qualified personnel as Engineering Petty Officers (EPO). Only **engineers** will be assigned. These **positions** are listed in the Enlisted Billet Manual, COMDTINST M5320.6 (series).

1. The assignment of enlisted personnel to these positions is the responsibility of Commander (CGPC-epm-2)

2. EPO assignments require a special selection procedure because of the particularly high degree of leadership, performance, professional competence, and skill required for the job. Proper background experience, maturity, dedication, and professionalism are requisite qualifications for EPO.

4.C.7.b. Qualification for Assignment

1. **Members must have no marks less than four on their enlisted employee review and no mark of unsatisfactory in conduct for the last two years.**

2. **Candidates may have no record of civil arrest, court-martial, non-judicial punishment (NJP), alcoholism, drug misuse, indebtedness, etc., for the last two years.**

4.C.7.c. Submission of Request

1. Requests for EPO assignment shall be submitted to Commander (CGPC-epm-2) through the chain of command on **E-resume**.

2. The CO or OIC shall endorse the member's request to include comments regarding the applicant's:

   a. Leadership required for independent duty

   b. Technical competence required for the job

   c. Maturity

   d. Dedication

   e. Professionalism

   f. Military bearing and appearance

4.C.7.d. Selection Procedure

1. Commander (CGPC-epm-2) shall review all requests for EPO assignments. Only those with the appropriate endorsement will be considered. If the total number of EPO **positions** available exceed the number of requests on file, Commander (CGPC-epm-2) will make assignments based on Service needs using the best qualified personnel available.

2. Commander (CGPC-epm-2) will assign personnel to EPO **positions** based on:

   a. Individual's past performance

   b. Commanding officer's endorsement

   c. Qualification codes

   d. Career experience

   e. Personal preference

4.C.7.e. Assignment Policy

1. Personnel who have served satisfactorily as EPO and possess the appropriate qualification code are considered eligible for subsequent EPO assignments based on that qualification code.

2. Tour lengths for EPO assignments are prescribed in Article 4.A.5.

3. Relief for Cause of an EPO will be conducted in accordance with the procedures outlined in Article 4.F. Commander (CGPC-epm) orders permanent Relief for Cause for EPOs.

4.C.8. Assignment as Executive Petty Officer (XPO)

4.C.8.a. General

Certain enlisted positions require qualified members as Executive Petty Officers (XPOs).

1. Commander (CGPC-epm-2) assigns enlisted personnel to these **positions**.

2. These assignments require a special selection process due to the high degree of technical competence, leadership, and managerial ability required of the position.

4.C.8.b. Qualifications for Assignment

1. Candidates must have no marks less than four on their enlisted evaluations and no mark of unsatisfactory in conduct for the last two years.

2. Candidates may have no record of civil arrest, court martial, nonjudicial punishment (NJP), alcoholism, drug misuse, indebtedness, etc., for the last two years.

3. Candidates may have no physical impairment that precludes worldwide assignment.

4. Candidates must meet the Commandant's weight standards listed in the Allowable Weight Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series).

4.C.8.c. Submission of Request

1. Submit requests for assignment as XPO to Commander (CGPC-epm-2) through the commanding officer or OIC on the **E-Resume**.

2. The commanding officer or OIC shall endorse the request addressing whether the applicant meets the requirements of Article 4.C.8.c.2., and include comments on these characteristics:

   a. Performance in leadership positions and overall performance

   b. Depth of professional knowledge

   c. Ability to demonstrate sound judgment

d. Ability to work harmoniously with others

e. Consistency in presenting a smart military bearing and appearance

4.C.8.d. Selection and Assignment Procedure

1. Commander (CGPC-epm-2) shall review all XPO assignment requests but consider only those with appropriate endorsements. Assignments will be based on Service needs using the best qualified personnel available.

2. Commander (CGPC-epm-2) will assign personnel to XPO **positions** based upon:

   a. Demonstrated leadership and performance;

   b. Command recommendation;

   c. Career experience and qualifications;

   d. Availability of assignments;

   e. Personal preference.

3. Every effort will be made to allow each XPO an on site relief with a suitable break-in period.

4. Tour lengths for XPO assignments are prescribed in Article 4.A.5. To ensure operational readiness, some flexibility in tour lengths may be necessary to phase rotations between the CO or OIC and XPO. Otherwise, extensions will not normally be granted.

5. Relief for Cause of an XPO will be conducted in accordance with the procedures outlined in Article 4.F. Commander (CGPC-epm) orders permanent Relief for Cause for XPOs.

4.C.9. Assignment To Vessel Traffic Service (VTS) Duty

4.C.9.a. General

Vessel Traffic Service (VTS) duty is a unique duty involving receiving, processing, analyzing, and disseminating navigation and maritime traffic safety information. Members assigned to a VTS use state-of-the-art market equipment, e.g., radar, computers, radio communications, and closed circuit television, in performing their duties. The VTS training program represents a considerable investment in time and personnel resources. The public expectations and mission requirements of the VTS program demand assigned members interact with maritime pilots, port officials, and other maritime professionals. Accordingly, members assigned to VTS duty must possess a high degree of maturity and stability and exercise sound judgement in performing their duties.

4.C.9.b. Qualifications

1. Be in pay grade E-4 or higher having completed at least one rated tour afloat and have at least three years', or if on an overseas without dependents tour, at least two years' obligated service remaining upon reporting for VTS duty.

2. Have a current physical examination on record which must be reviewed before assignment to ensure the member meets all applicable physical standards. Pay particular attention to ensure the member possesses the following attributes:

   a. Good hearing and acceptable visual acuity (member must comply with current CG medical standards);

   b. Normal color perception;

   c. No speech impediments.

3. Not be in Medical Board status when assigned to VTS duty.

4. Have no documented drug or alcohol abuse history within one year of assignment.

5. Satisfactory performance. Members with a history of demonstrated unsatisfactory or marginal performance as defined in Articles 4.C.1., 5.C.38., and 12.B.9. within the past two years are not eligible for assignment to VTS duty.

6. Satisfactory conduct. A documented history of courts-martial, multiple non-judicial punishments, or a civil conviction for any charge other than a minor one; e.g., traffic violations, in the past two years are not eligible for assignment to VTS duty.

7. Eligibility for a Secret security clearance.

4.C.9.c. Commanding Officer's Endorsement

1. Due to the nature of this unique assignment, the member's commanding officer must make a definitive recommendation on the member's **E-Resume**, about the member's qualifications, capabilities, and suitability for assignment to VTS duty as Article 4.C.9.b. describes.

2. A commanding officer can forward the member's **E-Resume** even if the member has not met the minimum qualifications, provided the commanding officer's remarks justify the requested exception. Commander (CGPC-epm-2) will consider all requests sent in this manner on a case-by-case basis.

4.C.10. Assignment to National Strike Force Duty

4.C.10.a. General

The Strike Teams respond to oil and hazardous material discharges and plan for integration into on-scene operations by participating in regional contingency planning. This includes establishing and maintaining liaison with personnel in all levels of government (federal, state, and local) and industry; training Coast Guard personnel and other personnel from other agencies to engage effectively in response activities; participating in the testing programs associated with Coast Guard development of pollution removal hardware. In addition to training others, Strike Team personnel undergo extensive training at formal schools and at the unit level in order to safely and effectively transport, operate, maintain, and refurbish specialized oil and hazardous chemical response equipment. Strike Teams staff must be carefully selected personnel of the highest caliber to carry out these important functions. The enlisted **position** structure includes personnel in the BM, DC, EM, HS, MK, MST, YN, and SK ratings. Strike Team duty involves strenuous, hazardous work with frequent TAD, constant recall status, cross-training to perform the duties of other ratings, extensive training in the various aspects of the National Strike Force mission, frequent contact with other federal agencies, industry, and the general public.

4.C.10.b. Qualifications

1. Three years' obligated service remaining on reporting.
2. Consistently exhibit mature judgment, even temperament, tact, diplomacy, and discretion.
3. Possess the ability to correspond with and address the public professionally and confidently.
4. Ability to speak and write clearly.
5. No court-martial or felony convictions (federal, state or local) in the past six years.
6. No non-judicial punishment or misdemeanor convictions (federal, state or local) in the past three years.
7. No alcohol incident during the past four years.
8. No unsatisfactory conduct mark or characteristic factor average less than 3 during the past three years.
9. No individual factor average less than 4 during the last two years.
10. Eligibility for the security clearance required for the assignment requested.
11. Qualify to operate a motor vehicle, hold a valid state operator's license, and no history of repeated traffic violations.
12. A history of demonstrated sound financial management; no record of excessive indebtedness or indication of non-payment of just debts.
13. Members may not be pregnant at the time of assignment.

14. Members must be clean-shaven; however a neatly trimmed mustache is allowed. Those with approved waivers for folliculitus are not eligible for National Strike Force duty assignments.
15. Good health with no record of physical problems requiring frequent treatment or precluding strenuous and continuous physical activities and no record of psychological problems precluding flying, swimming, and assuming responsibility. Members must successfully meet pre-assignment physical qualifications outlined in the Medical Manual, COMDTINST M6000.1 (series).
16. Have sharp military bearing and a smart appearance. Must comply with weight standards contained in the **Weight/Physical Fitness Standards for Coast Guard Military Personnel, COMDTINST M1020.8 (series).**

4.C.10.c. Training

Previous attendance at any of these courses or schools is desirable:

1. Marine Safety Petty Officer course or similar training from previous marine safety schools.
2. Hazardous material and/or oil response training.
3. Instructor Training.
4. For MK's: Hydraulic Systems and Equipment Operation and Maintenance and Outboard Motor Maintenance Training (MK-23).
5. Tractor-trailer driver's training.
6. Safety and Occupational Health Training.
7. Emergency Medical Technician Training.
8. For SK's: LUFS training, contracting warrant.
9. For BM's: Coxswain's School.
10. For DC's: Welding School.

4.C.10.d. Submitting Requests

1. Submit requests via commanding officer on **E-resume**. Commanding officers shall interview applicants to determine they fully understand the personal impact associated with being assigned to a unit requiring a continuous recall status and frequent, unplanned TAD for extended periods. The endorsement shall include the commanding officer's statement of the applicant's understanding and whether the applicant meets the qualifications of Article 4.C.10.b. If the applicant is considered a good candidate but is not qualified in some specific requirement, the commanding officer may recommend consideration of a waiver.

2. Each rating Assignment Officer **(AO)** will review requests for assignment to the National Strike Force to ensure members meets the minimum requirements described above. If the minimum requirements are met, the AO will develop a list of potential

candidates for each available position. The AO will forward this list to the commanding officer of the applicable strike team. The commanding officer will then prioritize this list based upon information gathered from the member, their spouse (if applicable), the member's current unit, etc. The strike team commanding officer will then forward this prioritized list to the cognizant AO to complete the assignment process.

4.C.11. Assignment to Polar Icebreaker Duty

4.C.11.a. General

Polar icebreaker duty is a unique assignment involving extended deployments, long separations from family, and operations in extremely remote areas of the world. As a result, assigned personnel and their dependents must be carefully screened.

4.C.11.b. Qualifications

When a member receives orders to icebreaker duty, his or her commanding officer shall ensure the member complies with the following:

1. Medical. Members and their dependents must be screened for any documented medical problems which would preclude or complicate assignment. The member must complete an overseas transfer/sea duty deployment physical.
2. Dental. Normally, dental defects do not preclude assignment to icebreaker duty. The member should have no dental defects that are likely to require extensive or prolonged treatment. The member must have a type 2 dental exam. Only in those extreme cases when personnel are unable to perform assigned duties due to dental conditions will they be considered unsuitable for icebreaker duty.
3. Alcohol. Personnel with a documented history of unresolved alcohol abuse are considered unsuitable for icebreaker duty. Those who successfully complete an alcohol rehabilitation program and have experienced no alcohol involvement for one year after completing the program are suitable for icebreaker duty. Those who complete the alcohol rehabilitation program while assigned to an icebreaker will be returned to icebreaker duty unless the rehabilitation facility indicates that such return would be detrimental to recovery.
4. Performance. Members with a history of demonstrated unsatisfactory or marginal performance as described in Articles 4.C.1., 5.C.38, and 12.B.9. in the previous two years are unsuitable for icebreaker duty.
5. Disciplinary. Members with a history of courts-martial, multiple non-judicial punishments, or involvement with civil authorities in the previous two years are not qualified for icebreaker duty, nor are members with any one-time, major offense; i.e., a felony, in their current enlistment
6. Single Parents. Single parents are not disqualified from serving on icebreakers. Refer to Article 4.A.12.

7. Indebtedness. Members with serious financial problems or indebtedness which has not been reconciled with the creditor(s) or interested parties, or a documented history of indebtedness over a three-year period are not qualified. Refer to Article 8.F. for policy on processing cases of indebtedness.
8. Defense Enrollment Eligibility Reporting System (DEERS). Members and their dependents must be enrolled in DEERS.
9. Active Obligated Service. Members must have enough active obligated service to complete the tour of duty. The receiving command shall contact the transferring command's administrative officer, executive officer, or commanding officer within 45 days after notice of the member's assignment to determine if the member and his or her dependents are qualified and advise all concerned if any problems are noted or suspected.
10. Sponsor. The receiving command must assign a sponsor for incoming members.
11. Documentation. If a member is considered suitable in all respects for icebreaker duty, his or her commanding officer shall ensure the following Administrative Remarks, CG-3307, entry is entered in the member's Personnel Data Record:

    [Date]: I have read and understand Article 4.C.11., Personnel Manual, COMDTINST M1000.6 (series) relating to suitability for icebreaker duty. Neither I nor my dependents possess any physical or mental abnormalities, except as indicated, which might result in a determination that I am disqualified for such duty: [State disqualifications or indicate "None to my knowledge."] I consider myself fully qualified for icebreaker duty.

    _____

    Member's signature

    (Member's full name) has complied with Article 4.C.11, Personnel Manual, COMDTINST M1000.6 (series) and is considered suitable in all respects for assignment to icebreaker duty.

    _____

    Commanding officer's signature

4.C.11.c. Required Action if Member Not Qualified

The member's unit must notify Commander (CGPC-epm-2) as soon as possible if the member does not meet the qualifications for assignment to icebreaker duty.

4.C.12. Assignment to Law Enforcement Detachment (LEDET) Duty

4.C.12.a. General

Unique in the Coast Guard, Law Enforcement Detachment (LEDET) duty is full-time law enforcement duty. LEDET personnel primarily conduct maritime law enforcement operations and training while deployed on United States and foreign naval ships. Extended deployments and frequent recalls are common. Because LEDET duty is particularly demanding , applicants must be screened carefully. Previous operational and shipboard experience, family situation, duty performance, and personal qualifications are all selection considerations.

4.C.12.b. Qualifications

To be considered for LEDET duty, petty officers must fulfill these criteria:

1. Law Enforcement Experience. Have been assigned to an afloat unit or shore station as an E-4 or above or have previous civilian or DOD law enforcement experience. Exceptions may be granted for highly-motivated strikers serving afloat or at a shore station who desire LEDET duty for their first petty officer assignment.

2. Boarding Team Qualification. Should have been Boarding Team Member (BTM) or Boarding Officer (BO) qualified at his or her current unit or within the last three years. Exceptions may be granted for highly-motivated personnel serving at units not requiring BTM or BO qualification.

3. Physical Fitness. Must meet the Commandant's minimum physical fitness standards for BO/BTM.

4. Medical. Members selected for LEDET duty must successfully complete an overseas/sea duty screening examination prior to departing current assignment.

5. Security Clearance. Must be eligible for a SECRET security clearance.

6. Indebtedness. Members with serious financial problems, indebtedness they have not reconciled with creditor(s) or interested parties, or a documented history of indebtedness over a three-year period are not qualified.

7. Documentation. When a member is considered suitable in all respects for TACLET/LEDET duty, the member's commanding officer shall ensure the following statement is placed in the comments section of the their **E-Resume**:

   I have read and understand Article 4.C.12, Personnel Manual, COMDTINST M1000.6 (series) relating to suitability for TACLET/LEDET duty. Neither I nor my dependents possess any physical or mental abnormalities, except as indicated, which might result in a determination that I am disqualified for such

duty: (state disqualifications or indicate "None to my knowledge.") I consider myself fully qualified for TACLET/LEDET duty.

4.C.12.c. Interview

1. Their commanding officer shall interview members requesting LEDET duty to ensure that they are fully qualified in accordance with this Article.

2. Members requesting LEDET duty shall also contact the TACLET commanding officer, executive officer, or specific officer-in-charge where they desire assignment, for an interview that will help determine whether there are any factors which could potentially disqualify the member for LEDET duty.

4.C.12.d. Submission of Requests

Requests for LEDET duty may be submitted to Coast Guard Personnel Command at any time. Requests shall be submitted on **E-Resumes and must include a command endorsement from the commanding officer**. The commanding officer's endorsement shall provide the following:

1. A definite recommendation.

2. Statement that member has read and complies with Article 4.C.12.

3. Comments regarding the member's performance as a Boarding Team Member or Boarding Officer, if previously qualified.

4. Performance.

4.C.12.e. Training

The receiving TACLET will coordinate initial or refresher training for Boarding Team Members and Boarding Officers.

4.C.12.f. Assignment.

1. Article 4.A.5. states the general policy on tours of duty.

2. Commander (CGPC-epm-2) will inform the respective TACLETs of members desiring LEDET duty. The TACLET command representative will indicate to Commander (CGPC-epm-2) the members recommended for LEDET duty after their TACLET interviews.

3. Commander (CGPC-epm-2) assigns personnel to and from LEDET duty.

Exhibit 4.C.6. District Review Board Evaluation and Reporting Form (CG-5113)

DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-5113 (Rev. 7-03)	**DISTRICT REVIEW BOARD EVALUATION AND REPORTING FORM** *(For Certifying Perspective Officer in Charge Candidates)*

☐ **Pre-Board** ☐ **Area/District Review Board**

CANDIDATE/NAME	RATE	SOCIAL SECURITY NUMBER

S	U	**EVALUATION** ***(S - Satisfactory - U - Unsatisfactory)***
		1. PROFESSIONAL KNOWLEDGE: *(Scope of general knowledge and depth of specific*
		a. Search and Rescue
		b. Aids to Navigation
		c. Law Enforcement
		d. Military Readiness
		2. MILITARY PROFESSIONALISM
		a. Vessel/Station maintenance programs
		b. UCMJ and Military Justice Procedures
		c. Command ethics
		d. Small Unit Training Programs
		e. Financial and budgeting management practices
		f. Safety
		g. Public Affairs
		3. PERSONNEL MANAGEMENT
		a. Work-Life Programs
		b. Counseling
		c. Drug/alcohol use and symptoms of abuse
		d. Human relations/abuse issues (i.e. sexual)
		4. PERSONAL QUALITIES: **(* A Unsatisfactory in these categories automatically fails an individual) (Both positive and negative comments required.)**
		a. Human Relations *
		b. Leadership *
		c. Demeanor *
		d. Personal Ethics *
		e. Judgment *
		f. Appearance *

OVERALL RECOMMENDATIONS AND COMMENTS:

NAMES OF REVIEW BOARD MEMBERS:

THE MEMBER NAMED ABOVE IS CERTIFIED **QUALIFIED/NOT QUALIFIED** TO COMMAND:

AFLOAT MM _____(OC) AFLOAT ATON _____(OD) ASHORE MM _____(OA) ASHORE ATON _____(OA)

ASHORE **AND** AFLOAT MULTI-MISSION_____(OE) ASHORE **AND** AFLOAT ATON _____(OF)

SIGNATURE *(Senior Board Member)*	**DATE**

PREVIOUS EDITIONS ARE OBSOLETE

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4.D Assignment Policies for Non-rated Members

4.D.1. General

4.D.1.a. Assignments

The Enlisted Assignments Branch, Commander (CGPC-epm-2) will make assignments for all non-rated personnel.

4.D.1.b. Issuance of Orders

Because of the fluid and steady nature of non-rate accessions and advancements, the non-rated assignment process does not lend itself to distinct phases found in the rated assignment system. Consequently, orders for non-rated personnel will be issued throughout the year.

4.D.1.c Assignment Priorities

Assignment priorities do not apply to initial assignment of non-rates (Article 4.B.4.) Needs of the Service take precedence over all other factors. Generally, in determining service need, CGPC-epm shall assign non-rated personnel using the following prioritized categories of unit types:

Category 1	All afloat units.
Category 2	Those ashore operational units where non-rates either deploy or stand duty (small boat stations, ANTs, LORAN Stations).
Category 3	Operational Support Units (Groups, Activities, MSOs).
Category 4	General Support Units (ISCs, Districts, COMMSTAs, Training Centers/**Air stations/Sectors**).

4.D.2. Recruit Assignment Policy

4.D.2.a. Initial Assignment

Upon successful completion of recruit training, or upon initial entry into the Service, non-rated members can expect assignment to various types of units located both INCONUS and OCONUS. Commander (CGPC-epm-2) assigns all non-rated members based on Service needs and the member's **Assignment Data Worksheet (ADW), PSC Form 2002**. Recruits should list at least four desired districts on their **ADW** and Commander (CGPC-epm-2) will attempt to match their geographical desires with Service needs.

4.D.2.b. Successful Completion of Recruit Training

Commander (CGPC-epm-2) is responsible for the distribution and assignment of all non-rated members who successfully complete recruit training. The needs of the Service will determine the types of units or **positions** that will be filled by each graduating company.

1. To meet seaman or seaman apprentice (SN/SA) and fireman or fireman apprentice (FN/FA) levels, Commander, (CGPC-epm-2) will designate approximately 30 percent of all members from each recruit graduating class as FA/FN. Recruits ordered to fill FN **positions** shall be designated as FA/FN upon graduation.
2. Training Center (TRACEN) Cape May will provide an **ADW** in accordance with instructions in the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series) to Commander (CGPC-epm-2) **at the end of the recruit's 5th week of training**. TRACEN will ensure that a unit POC is designated at the training center for recruits. Recruits are not authorized to contact their Assignment Officer (AO).
3. Members who, upon enlistment in the Coast Guard, are guaranteed a geographic district will be assigned to that district upon successful completion of recruit training. Members who have a guaranteed district, but desire a different district may waive their guarantee by signing the following statement on an Administrative Remarks, CG-3307:

   > I hereby waive my guaranteed district as shown on my Enlistment Contract, CG-3301. I understand this will enable me to select orders in conjunction with normal recruit order selection procedures. I fully understand this cancellation of my guaranteed assignment is final.

4. Members who, upon enlistment in the Coast Guard, are guaranteed a Class "A" School will be assigned to the appropriate training center awaiting training upon successful completion of recruit training. The actual location of the assignment depends on both Service need and on the length of time between the recruit's graduation and the convening date of his or her guaranteed school.
5. Only non-rated members who possess normal color vision will be assigned to small boat stations.
6. In those cases when a recruit is reverted, TRACEN will notify Commander (CGPC-epm-2) to determine if a delay in reporting or cancellation of orders is warranted. When recruit orders are canceled, the unit to which that recruit was ordered will receive a replacement from the next graduating recruit company.
7. Units receiving recruits will comply with the sponsor responsibilities outlined in Article 4.A.15.
8. Advance notice of transfers does not apply to recruits (Article 4.B.2).

4.D.3 Non-rated Tours of Duty

Non-rate tours of duty shall be as per Article 4.A.5.b.

4.D.4. Communications Between Non-rated Members and Assignment Officers

4.D.4.a. The E-Resume

The **E-Resume** is the primary method by which members communicate their assignment desires to Commander (CGPC-epm-2). Commands will ensure each member submits an **E-Resume which includes a command endorsement. It is very important that each member maintains a current E-Resume in Direct Access.** Members **may** submit a new **E-Resume at** anytime to communicate new or changed information. Accurate and timely submission of this data provides Commander, (CGPC-epm-2) with important information when considering assignments.

1. Non-rated members should submit an **E-Resume** upon advancement to E-3 to ensure all personal data is updated. In addition, members should specifically note their career intentions, including "A" School or striking intentions, etc., on the **E-Resume**.

2. Non-rated members must submit an **E-Resume** within six months of their normal tour completion date if OCONUS and within four months if INCONUS. This **E-Resume** serves primarily to communicate the member's next desired assignment or type of duty.

3. Command endorsements on **E-Resumes** are critical to **provide** efficient, effective reassignment of our personnel. Individual qualities and traits should be addressed in command endorsements in order to provide the AO with a larger perspective of assignment issues particular to the member.

4.D.4.b. Telephone Calls

Telephone calls from non-rated members directly to AOs are prohibited. In most cases, a non-rated member's questions or concerns can be adequately addressed at the unit PO1/CPO level. Article 4.C.2.f.

4.D.4.c. Other Communication Methods

See Article 4.C.2.

b. The program manager or receiving command conducting the interview will specify the interview location and method and bear the expense and any travel in connection with the interview.

c. The interview should be conducted by at least two people, one of which should be a chief petty officer or higher.

d. The interviewers will make a definite recommendation on the applicant's selection for assignment to Special Duty. All interviewers will sign the form.

e. The interview form will be distributed by the program manager or receiving command as follows:

f. Original to Commander (CGPC-epm-2), Attn: Special Duty AO.

g. Copy to member to serve as his or her official notice of recommendation for Special Duty assignment.

h. Copy to member's command.

i. During the interview process the program manager or receiving command conducting the interview will not comment or indicate assignment to specific duty stations and ensure the applicant understands Commander, (CGPC-epm-2) will make the final decision on his or her assignment

7. If the command and program manager decide not to conduct an interview, they will review the information provided by Commander (CGPC-epm-2) and definitely decide whether or not to recommend a member for assignment to Special Duty. Commander (CGPC-epm-2) will neither solicit nor accept unofficial information about the applicant. Only official, documented information will be exchanged and used in the decision making process.

8. Normally, the "best qualified" member, as determined by the AO, including input from the program manager or receiving command, is assigned to the available position. If more than one member of similar qualifications applies for the assignment then the following factors are considered:

a. Command endorsement

b. Assignment priority

c. Geographic stability

d. **Enlisted Employee Review**

4.E.4. Reassigning Members Unsuited for Special Duty

4.E.4.a. Screening Procedures

Screening procedures for Special Duty assignment selection are designed to select only the highest caliber of individuals. Despite the most stringent screening process, isolated cases of assignment of individuals who are unsuited for such duty will occur. Members considered unsuitable (as identified and determined by the command, program manager or Commander (CGPC-epm-2*)* for such duty fall into one of two distinct categories indicated below:

1. Those members considered unsuitable for continued duty through no fault of their own; e.g., a physical defect or speech impediment, lack of confidence or inability to project in front of audiences, or other deficiencies which would hamper effective performance.

2. Those members considered unsuitable for continued duty as a result of their own actions; e.g., poor performance, lack of leadership, misconduct, lack of interest, poor attitude, or other similar reasons.

4.E.4.b. Recommendation for Reassignment

When a member is considered unsuitable for Special Duty, he or she shall be advised and required to sign a CG-3307, "Administrative Remarks" entry. A recommendation letter (or message in time-critical, operational situations) for reassignment from such duty shall be submitted to Commander (CGPC-epm-2) via the chain of command, and must include this information:

1. Name, rating, and pay grade

2. Expiration of active obligated service

3. Reporting date to current unit

4. Number of and location of dependents and household effects

5. Specific, detailed reasons, to include all documentation; e.g., command counseling remarks on CG-3307, **an unscheduled Enlisted Employee Review** indicating in which category the member is considered unsuitable, along with any other useful information to determine the next assignment.

6. For members judged unsuitable through no fault of their own, in addition to documentation required above, also comment on the member's ability to perform in another capacity; e.g., professional knowledge, ability, and initiative.

7. When the reason for reassignment is due to the member's own action, report any disciplinary or administrative action taken or pending. See Articles 5.C.38., 12.B.9., 12.B.12., and 12.B.18.
8. When members are considered unsuitable for continued duty due to their own actions, a statement of rebuttal from the individual concerned is required. If the member desires not to make a statement, so indicate in writing.
9. Member's duty preferences listed on an E-Resume.

4.E.4.c. Reassignment Procedures

Reassignment as a result of unsuitability shall be made in consideration of the following factors:

1. The availability of positions for member's rating at the current unit or at other nearby units.
2. The amount of time remaining on member's current assignment.

4.E.4.d. Commanding Officer Responsibilities

If reassignment is directed, the CO shall:

Complete the appropriate **Enlisted Employee Review (EER) on Direct Access**.

1. Complete a CG-3307 entry to indicate reassignment from the specific duty and a brief explanation of the circumstances.
2. Revoke qualification codes if applicable.
3. Advise the member that he or she may be ordered to an interim unit for **an unscheduled EER** prior to reassignment. Article 4.E.4.
4. Advise members that upon reassignment, the member may be ordered to another unit for **an unscheduled EER** in accordance with Article 4.E.5.

4.E.5. Unscheduled Evaluation Resulting from Reassigning Members Unsuited for Special Duty

4.E.5.a. General

This article establishes guidelines for conducting **unscheduled EERs** for enlisted personnel who have been reassigned due to unsuitability for special duty under the provisions of Article 4.E.5.

1. When directed by Commander (CGPC-epm-2), enlisted members may undergo **an unscheduled EER** to determine suitability for rate retention, retention in the Service, and for future independent duty after being relieved under Article 4-E-5.

2. Commander (CGPC-epm-2) will determine the type and duration of the evaluation and will include such information in the member's original message orders. Members will be assigned in excess of the units normal complement pending reassignment.

4.E.5.b. Conducting the Evaluation

When the member reports for **an unscheduled EER**, he or she should sign a CG-3307 entry acknowledging he or she understands the scope and nature of the evaluation and has read and understands this article, Article 5.C.38.c., Article 12.B.9., and any other articles specified by Commander (CGPC-epm-2).

1. Rate Retention Evaluation. Except for the three-month period, Article 5.C.38. provisions and these additional provisions apply.

   a. Review the Enlisted Qualifications Manual, COMDTINST M1414.8 (series), to determine those specific qualifications the unit is capable of accomplishing. Devise a schedule to complete all the practical factors for the individual's rate within the time frame prescribed, give a copy to the evaluee, and file one in his or her PDR. Use this schedule to document the evaluee's progress. Requiring demonstration of lower rate practical factors is authorized should the unit determine it is warranted.

   b. In addition, assign normal work tasks consistent with the member's rate and rating.

   c. Counsel the member every 30 days, and document the content of these sessions on a CG-3307 entry.

   d. **Prepare an Enlisted Employee Review** a minimum of three times during the evaluation period.

2. Retention in the Service. The procedures to discharge unsatisfactory performers in Article 12.B.9. apply here except for the 180-day period. These additional procedures apply:

   a. Counsel the member every 30 days, and document the content of these sessions on a CG-3307 entry.

   b. Prepare an Enlisted Employee Review a minimum of three times during the evaluation period.

3. Suitability for Future Leadership or Independent Duty Assignments. Since certain assignments require special qualities, this evaluation must focus on those qualities, not solely rate specific knowledge.

a. Perform regular interval counseling sessions outlined in Article 4.E.5.b. and be sure to address and comment on these areas when conducting scheduled counseling:

(1) Leadership qualities.

(2) Performance and overall knowledge of rating.

(3) Professionalism.

(4) Conduct.

(5) Ability to get along with others.

(6) Motivation.

(7) Stamina.

(8) Attitude.

b. On completing the member's evaluation, the commanding officer must execute a statement addressing whether the member is capable of serving in the type of assignment from which previously removed for cause.

4.E.5.c. Final Disposition

Send copies of all CG-3307 entries and the final **Enlisted Employee Review** to Commander (CGPC-epm-2) within 15 working days after the evaluation period. The command must attach a command recommendation clearly stating whether the member is suitable for retention in rating, retention in the Service, or future leadership positions. Additionally, the command should attach the member's rebuttal statement, if applicable, and updated E-Resume.

4.E.6. Instructor Duty

4.E.6.a. Position Locations

Personnel are assigned to in rate and out of rate instructor duty in accordance with authorized allowances. Instructor duty positions are located at these types of activities:

1. U.S. Coast Guard Class "A" and "C" Schools
2. U.S. Navy Class "A" and "C" Schools
3. Training Center Cape May, Training Center Petaluma, Reserve Training Center Yorktown
4. Atlantic and Pacific Area Training Teams

5. District Training Teams
6. U.S. Navy Fleet Training Groups and Units
7. Miscellaneous training activities which have positions designated as Instructor Duty by the Personnel Allowance System.

4.E.6.b. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a., a member applying for instructor duty (in-rate and out-of-rate) should:

1. Demonstrate an interest in teaching.
2. Be able to work harmoniously with others.
3. Possess sound judgment.
4. Possess relevant expertise in the training field to which applying.

If the member is considered a good candidate but is not qualified in some specific requirement, the commanding officer may recommend a consideration for waiver.

4.E.6.c. Instructor Training

The CO will indicate whether a candidate who has not previously attended instructor training school will be available to attend training before reporting for duty.

4.E.6.d. Evaluating Instructors

Instructors shall be evaluated as early as possible. Those who are found unsuitable shall be reassigned, as necessary, under Article 4.E.4.

4.E.6.e. Qualification Codes

After a member has served satisfactorily as an instructor for one year, the training command's commanding officer shall assign the appropriate qualification code following the Enlisted Qualifications Manual, COMDTINST M1414.8 (series).

4.E.7. Recruiting Duty

4.E.7.a. Recruiting Mission

The Coast Guard's recruiting mission is "To meet the Commandant's military recruiting goals by enhancing public awareness and maintaining the best qualified, diverse applicant pool with an innovative trustworthy team of professionals." Recruiting qualified personnel for the Coast Guard is a complex, highly competitive

task. The Coast Guard competes directly with the Department of Defense Services and private industry for the new personnel resources required each year.

4.E.7.b. Key Element to Providing Human Resources

The recruiter is the key element in providing human resources for the Coast Guard. The recruiter is the first contact with the Service for the vast majority of Coast Guard military members. The selection, motivation, and training of a recruiter is a top priority to the success of the Coast Guard's mission.

4.E.7.c. Additional Qualifications

Prior to 01 July each year, Commander (CGPC-epm-2), in coordination with CGRC will solicit applications by ALCGENL message for the upcoming Assignment Year. This message will contain submission criteria.

4.E.7.d. Submitting Requests

Applications for recruiting duty shall not be made earlier than one year prior to completion of member's present tour of duty. Requests shall be submitted on an **E-Resume with a command endorsement included.**

In addition to the requirements of Article 4.E.2.c., the CO's endorsement shall include the member's Navy Battery Test scores.

4.E.7.e. Training

Personnel selected for their first and subsequent tours in recruiting duty will attend formal indoctrination at Recruiter's School.

4.E.7.f. Assignment

After a recruiting assignment, members normally transfer to duties within their rating. On completing duty in their rating, members may be considered for another recruiting tour depending on Service needs. Members with more than 10 years of service may request consecutive recruiting assignment. Commander (CGPC-epm-2) controls assigning personnel to and from recruiting duties.

4.E.8. Recruit Regimental Duty (Including Company Commander)

4.E.8.a. Battalion Commander and Company Commander Duties

Battalion Commander (BC) and Company Commander (CC) duties are some of the most important, demanding in the Coast Guard, requiring the highest degree of leadership and exemplification of our core values of honor, respect, and devotion to duty. The BC is in charge of the CCs, whose impact on recruits at this initial stage in their career is critical. Senior CC's share in supervising junior CC's. Members assigned to BC and CC duty must be physically and emotionally qualified to train recruits, capable of maintaining control of their emotions in stressful situations and ready to handle the job's physical demands. The normal tour of duty is three years.

4.E.8.b. Additional Qualifications

In addition to meeting the minimum standards outlined in Article 4.E.2.a. and completing the Company Commander qualification process, a member applying for recruiting regimental duty must:

1. Be an E-8 or E-9 for assignment to BC.

2. Be an E-7 with at least six years of Coast Guard service for assignment as a Lead Company Commander.

3. Be an E-4, E-5, or E-6 with at least three years of Coast Guard service for assignment as a Company Commander.

4. Have a high level of maturity and even temperament. A staff psychologist will conduct psychological and personality screening of prospective CC's.

5. Have no physical limitations which would preclude progressive participation in a physical fitness program including among other activities, running, swimming, push-ups, and sit-ups, culminating in a physical fitness test administered by the Training Center staff on reporting and semi-annually thereafter.

6. Have an exceptional personal appearance.

7. Have demonstrated an interest in teaching.

8. Although not considered mandatory, a good career pattern of general duty is very desirable for all of these assignments. A recent tour of sea duty is also desirable.

8. Possess a valid state motor vehicle operator's license.

9. On application be in excellent physical condition.

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

4.E.9.c. Submitting Requests

Prior to 01 July each year, Commander (CGPC-epm-2), in coordination with CGIS, will solicit applications by ALCGENL message for the upcoming **Assignment Year** season. This message will contain submission criteria.

4.E.10. Intelligence Duties

4.E.10.a. Intelligence Team

Intelligence Team (Analyst and Watchstander): The Coast Guard Intelligence Program needs experienced, trained members in many positions. Members selected for these HK-designated Intelligence Specialists positions must be able to perform a number of duties, including composing detailed intelligence documents; assisting in intelligence analysis; assessing, preparing and presenting briefs; familiarity with and interacting with members of the National Intelligence Community; and using various clerical and computer skills in preparing intelligence products.

4.E.10.b. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a, to qualify for an HK-designated position, a member should:

1. Have completed at least one year's Coast Guard service on active duty or in the Selected Reserve at any of the following Coast Guard intelligence activities:

   a. Commandant (CG-2)

   b. Area (Ai/Pi)/MIFCs.

   c. District (ole), when assigned to operational intelligence duties as determined by Commandant (CG-2)

   d. Intelligence Coordination Center (ICC)

   e. Joint Task Force (JTF) Fusion Center or J2

   f. Law Enforcement Support (LESUP) Team Miami

g. Pacific Intelligence Team (PIT)

h. C3I Centers East and West, when assigned to intelligence duties

i. El Paso Intelligence Center (EPIC)

2. Or have completed one of these courses:

a. USCG Basic Intelligence Course, Reserve Training Center, Yorktown, VA

b. Joint Military Intelligence Course, Defense Intelligence College, Washington, DC

c. Appropriate course at the Navy and Marine Corps Intelligence Training Center, Dam Neck, VA

d. Equivalent training as approved by Commandant (CG-2)

3. Be eligible for a Top Secret security clearance.

4.E.10.c. Assignment

Although there is no intelligence rating, enlisted members E-6 and above with more than 10 years of service may request consecutive assignments to intelligence duty. Commander, (CGPC-epm-2) controls intelligence duty assignments.

4.E.11. Ceremonial Honor Guard

4.E.11.a. General

Located at the Telecommunication and Information Systems Command (TISCOM) in Alexandria, VA, the U. S. Coast Guard Ceremonial Honor Guard is the official Coast Guard representative at various Armed Forces events and functions. In addition to performing Presidential support duty, the Ceremonial Honor Guard performs hundreds of ceremonies annually for many international leaders and other dignitaries.

4.E.11.b. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a, a member applying for Ceremonial Honor Guard duty should:

1. Background Investigation. Must have a favorable Single Scope Background Investigation (SSBI) completed within the last two years and been serving on continuous active duty with the Coast Guard since completion of the SSBI. Members will not perform Presidential support duty until the completed SSBI has been received and screened. A denial or revocation of a security clearance disqualifies a member for assignment to the Ceremonial Honor Guard.

2. Personal Qualities. Must be stable, of excellent character and discretion, and unquestioned loyalty to the United States.

3. Family Requirements. The member and adult, living members of his or her immediate family must be either native born or naturalized citizens of the United States. ("Immediate family" includes the current spouse; natural or foster parents or guardians; sisters and brothers by birth, adoption, or marriage of the parents; and children by birth, adoption, or marriage.) The Secret Service may grant waivers, through Commandant (CG-2), on a case-by-case basis.

4. Loyalty to the United States. The individual's family members and those persons to whom he or she is bound by affection or obligation should neither be subject to physical, mental, or other forms of duress by a foreign power nor advocate using force or violence to overthrow the government of the United States or altering the form of government of the United States by unconstitutional means.

5. Commandant (CG-2) will make a name check on member's spouse through the Federal Bureau of Investigation General Indices.

6. Interaction with High Government Officials. Since this duty may involve contact with the President of the United States, the First Family, and other individuals in high government positions, applicants must present a clean-cut, smart, pleasant appearance and possess a sufficient degree of intelligence, maturity, and literacy to respond to casual conversation with these officials.

7. Characteristics Evaluated for Selection. Applicants must be aware assignment to this Special Duty involves more than ceremonial or glamorous duty. If selected, members must not only maintain a flawless appearance, but also expect arduous work, long hours, and demands for expertise. Applicants should possess an enthusiastic attitude with confidence and motivation to meet the challenge of the assignment. Characteristics which will be evaluated during the selection process include maturity; self-control; objectivity; forthrightness; sincerity; attitude toward the Service, others, and themselves; cooperation; and motivation.

8. Physical Requirements. The following additional physical requirements apply:

   a. Men must be 6 feet 0 inches to 6 feet 4 inches and women 5 feet 10 inches to 6 feet 4 inches.

   b. Must be proficient in basic drill requirements.

   c. Must have visual acuity not requiring glasses (contact lenses may be worn).

   d. Must not have visible tattoos, unsightly scars, birthmarks, or severe acne.

   e. Must not have a history of serious back or knee injuries.

f. No beards or mustaches are permitted; the face must be clean shaven at all times. Those with approved waivers for folliculitis are not eligible for assignment to the Ceremonial Honor Guard.

4.E.11.c. Unsuitability for Assignment

Members with any serious derogatory information in the following categories are not suitable for assignment to the Ceremonial Honor Guard:

1. Criteria set forth in the Personnel Security Program, COMDTINST M5520.12 (series).

2. Record of courts-martial or indication of consideration for administrative separation in lieu of courts-martial.

3. A history of serious involvement with civil or military law enforcement agencies. Records of frequent minor involvement with law enforcement agencies shall be assessed to determine whether the individual has a tendency toward irresponsibility.

4. Record of neglect or substandard performance of duty or evidence of poor attitude or lack of motivation toward responsibilities.

5. Evidence of any other personal habits, characteristics, activities, or associations which would reasonably place doubt on the member's reliability or which would warrant a determination that a member is not suitable for assignment to Presidential support duties. Activities which may be considered as disqualifying under this paragraph include, among others, any record of:

   a. Recent serious indebtedness.

   b. Drunkenness or alcoholism.

   c. Serious family or marital problems.

   d. Mental ailments or psychological disorders.

   e. Involvement with narcotics, marijuana, or dangerous drugs.

   f. Aggressive tendencies or record of illegal use or possession of weapons.

4.E.11.d. Submitting Requests

1. Applicants must **submit these items to Commander (CGPC-epm-2)** when requesting assignment to the Ceremonial Honor Guard:

   a. Two photographs (full length and side views)

2. Review Headquarters records to screen for overall career performance, variety of unit assignments, educational or civic achievements, and any other information which may be used to determine suitability for assignment as a CMC.

3. Obtain comments from the candidate's respective assignment officer on availability for release from his or her rating and any overall impact such release would have.

4. On successful screening, the applicant's package will be included in the CMC pool maintained by Commander (CGPC-epm-2). At least four months before an upcoming vacancy, Commander (CGPC-epm-2) will send all packages for review to the area or district commander or commanding officer of the unit where the vacancy will occur. They may consider only those packages Commander (CGPC-epm-2) provides. After final review, the area or district commander or commanding officer will notify Commander (CGPC-epm) in writing of the top three recommended candidates and return all packages to Commander (CGPC-epm-2). On receiving the recommendations, Commander (CGPC-epm-2) will issue orders to the selected candidate. Selection will be based on the candidates' assignment preference as outlined in this chapter and the recommendations and desires of the area or district commander or commanding officer of the unit where the vacancy will occur.

4.E.13. Collateral Duty Command Master Chief

1. District and MLC commanders may designate specific units under their jurisdiction which are not covered in Article 4.E.12 above but which may assign collateral duty CMCs.

2. Each MLC or district commander shall promulgate guidelines for authority, duties, and responsibilities of authorized collateral duty CMCs as prescribed in Articles 4.E.12. above.

3. Designated collateral duty CMCs normally serve in pay grade E-7 or higher. Written designation of assignment as a collateral duty CMC is required. Place a copy of the written designation in the member's permanent and unit PDR.

4. Those serving as collateral duty CMC may wear the CMC badge only while serving in such capacity. The Uniform Regulations, COMDTINST M1020.6 (series), describes how to wear this badge.

4.E.14. Drug and Alcohol Abuse Representative

4.E.14.a. Selection Factors

To ensure Drug and Alcohol Abuse Program objectives are implemented, qualified members are encouraged to submit requests for assignment to Drug and Alcohol Abuse Representative (D&A Rep) duty. Submit requests via E-Resume. This duty's importance and sensitivity demand a mature individual knowledgeable about situations common to Coast Guard personnel. Selection factors of prime importance are motivation and ability to effectively communicate with a wide variety of people. Chapter 20 of this Manual contains further information on D&A Rep position responsibilities.

4.E.14.b. Additional Qualifications

1. In addition to the minimum standards outlined in Article 4.E.2.a, a member applying for D&A Rep duty should:

2. Be in pay grade E-6 or above serving on second or subsequent enlistment.

3. Have a minimum GCT or VE of 55.

4. Be mature and possess sound judgment.

5. Be able to work with minimal supervision.

6. Have a broad career pattern.

7. If a recovering alcoholic, have at least two years of continuous sobriety.

4.E.14.c. Interview

1. Commanding officers shall interview members who request duty as a D&A Rep to ensure they meet all qualifications. If not completely satisfied a member does so, the commanding officer shall state the reasons in the endorsement to the member's E-Resume. If the member is considered to have some outstanding qualities for assignment but is not qualified in some specific requirement, the commanding officer may recommend the consideration of a waiver; however, waivers will not be considered for GCT/VE scores, **enlisted employee reviews**, or length of sobriety.

2. CGPC-epm-2 normally assigns individuals being considered for assignment to D&A Rep duty TAD to a district office for an interview by the district commander (ap) and the district D&A Rep. The interviewers will evaluate the member and comment on the member's sincerity, motive for seeking D&A Rep assignment, and potential as a dependable, responsible representative of the

Personnel selected for assignment to U.S. Military Entrance Processing Stations (MEPS) positions must be mature individuals with sufficient military experience and personal stability to perform independently with a minimum of supervision and leadership. The normal tour of duty is three years

4.E.16.b. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a., a member applying for MEPS duty should:

1. Be in pay grade E-5 or above with at least three years' time in service.
2. Be able to read and speak English clearly.
3. Possess a valid state motor vehicle operator's license.

4.E.17. Military Civil Rights Counselor/Facilitator Duty

4.E.17.a. Civil Rights Mission

The Coast Guard's civil rights mission is to ensure that all in the Service are treated fairly with dignity and compassion. The military civil rights program serves to ensure the equal and just treatment of all personnel; to identify, correct and eliminate illegal discrimination. The Military Civil Rights Counselor/Facilitator's (MCRC/F) efforts directly affect the adequacy, effectiveness and efficiency of the Coast Guard's military Equal Opportunity (EO) programs and civil rights for all military personnel.

4.E.17.b. MCRC/F Duties

The MCRC/F trains, administers and advises superiors, peers and subordinates regarding the Coast Guard's Military Civil Rights program. The position requires thorough knowledge of Coast Guard civil rights policies and programs; instructive, administrative, management and consulting skills, and knowledge of Coast Guard military personnel policies and regulations. The MCRC/F independently coordinates and conducts military human relations training, conducts inquiries into informal complaints of discrimination, counsels complainants, and facilitates mediation and resolution of informal complaints. He or she also assists complainants with formal complaints of discrimination; advises individuals and commands on military civil rights issues; provides information on cultural programs, and manages a human relations training and travel budget. The MCRC/F serves as the field-level expert for military civil rights and equal opportunity for a geographically dispersed military workforce. He or she is responsible for military equal opportunity and civil rights within the same Coast Guard area of responsibility (AOR) established for his or her commander or Commanding Officer. MCRC/F duty requires frequent travel by car and Coast Guard vessels and/or aircraft throughout the assigned AOR to all work sites for training and counseling and travel outside the AOR as a certified mediator. MCRC/F duty is complex and demanding, requiring the member's full-time commitment. Therefore, collateral

duties will not be assigned to the MCRC/F unless those extra duties are approved by Commandant (G-HI). The normal tour of duty is four years.

4.E.17.c. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a, a member applying for MCRC/F duty:

1. Must be in pay grade E-6 or above.

2. Must be interviewed and approved for MCRC/F duty by Commandant (G-HI), or designee. Commandant (G-HI) is the Director of the Military and Civilian Internal Programs Directorate, Civil Rights Directorate, Coast Guard Headquarters.

3. Must be sponsored by a current MCRC/F prior to the Commandant, (G-HI) interview. Ideally, the MCRC/F's AOR should include the applicant's unit. The primary purpose of the sponsorship is to ensure applicants are capable and know the requirements of the job.

4. Must be a graduate of the Defense Equal Opportunity Management Institute (DEOMI) Equal Opportunity Advisor Course prior to assuming full-time MCRC/F responsibilities.

5. Should have a thorough knowledge of Coast Guard mission responsibilities, organization and management structure, chain of command and workforce composition.

6. Must have demonstrated public speaking skills. The MCRC/F briefs all levels of the chain of command on vital Civil Rights issues.

7. Must have demonstrated written communications skills. Experience writing letters, point papers and decision briefs is highly desirable and recommended. Must also be skilled in fact-finding and negotiation.

4.E.17.d. Submitting Requests

Members desiring MCRC/F duty should submit their request on an E-Resume with command endorsement, no earlier than one year prior to completion of their present tour of duty.

4.E.17.e. Training

1. Members selected for their first tour in MCRC/F duty will attend the Defense Equal Opportunity Management Institute (DEOMI) 15-week Equal Opportunity Advisor Course prior to assuming full-time MCRC/F duties.

2. Members who have not completed the Coast Guard Basic Instructor and Course Design courses should anticipate attending these courses. Members should also anticipate attending Equal Employment Opportunity, Alternate Dispute Resolution and Mediation training.

4.E.17.f. Assignment

Commander (CGPC-epm-2) controls the assignment of enlisted personnel to and from MCRC/F duties. After an MCRC/F assignment, members may transfer to duties within their rating or to another MCRC/F assignment upon re-release from their assignment officer. On completing duty in their rating, members may be considered for another MCRC/F tour depending on Service needs.

4.E.18. Standard Boat Standardization Team (STANTEAM) Duty

4.E.18.a. General

Standard Boat STANTEAMs travel throughout the Coast Guard to assess the operational readiness of standard boats & crews. These STANTEAMS provide valuable procedural and technical information to station and group staff; track boat and crew performance trends; provide data and policy recommendations to COMDT; and evaluate prototype equipment for standard boats. Assignment to STANTEAM duties is reserved for those individuals who have intimate knowledge and experience with a specific standard boat, i.e., 41' UTB, 47' MLB, etc., and who exhibit the maturity and confidence to professionally converse with personnel of all paygrades (E-1 to O-6). Those assigned to the STANTEAM staff should expect an extensive travel schedule with frequent family separations.

4.E.18.b. Assignment

Personnel are assigned to STANTEAM duty in accordance with authorized allowances. STANTEAM positions are currently located in Ilwaco, WA (MLB) and Yorktown, VA (UTB).

4.E.18.c. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a., a member applying for standard boat STANTEAM duty must:

1. Hold certification as boat coxswain (for Boatswain's Mates) or boat engineer (for Machinery Technicians) on the applicable standard boat type within the previous 4 years.
2. Have a minimum of 4 years experience with the applicable standard boat type.
3. Be able to interpret boat drawings and blueprints (MKs).
4. Have a qualification code "01" (MKs).

5. Meet the requirements for Instructors per Article 4.E.6.

4.E.18.d. STANTEAM Member Training

New STANTEAM members will receive On the Job Training (OJT).

4.E.18.e. Evaluating STANTEAM Members

New STANTEAM members will be evaluated for suitability as STANTEAM members as early as possible. Those who are found unsuitable shall be reassigned, as necessary, under the provisions of Article 4.E.4.

4.E.19. Surfman Instructor Duty, National Motor Lifeboat School

4.E.19.a. General

Duty as a Surfman Instructor at the National Motor Lifeboat School is extremely unique. Instructors must be highly proficient in all aspects of MLB heavy weather operations, present a physically fit and smart military appearance, and be able to work with others under the most demanding and dangerous conditions. Instructors must be highly motivated, possess exceptional interpersonal skills, and have the ability to communicate effectively with personnel in all paygrades, as well as in front of groups.

4.E.19.b. Additional Qualifications

In addition to the minimum standards outlined in Article 4.E.2.a., a member applying for Surfman Instructor duty must:

1. Have held certification as a MLB Surfman within the previous 4 years.
2. Have a minimum of 4 years experience serving in the capacity as a Surfman.
3. Have the ability to effectively deliver training under extremely adverse weather conditions, as well as in the classroom.
4. Demonstrate an interest in teaching.
5. Be able to work harmoniously with others.
6. Possess sound judgment.
7. Meet the requirements for instructor per Article 4.E.6.

Assignment Officer will screen active duty application packages and provide recommendations to Commander (CGPC-epm).

3. Selection and Assignments. Commander (CGPC-epm-2) will provide anticipated active duty RFMC openings and issue orders to those selected. A RFMC will be given an Assignment Priority of Three when the member has successfully completed a full tour of duty in the RFMC assignment.

4.E.22. Assignment of Master Chief Petty Officer of the Coast Guard

4.E.22.a. Policy

To ensure an orderly solicitation and selection process for relief of the Master Chief Petty Officer of the Coast Guard (MCPOCG), the following standards and procedures must be followed:

4.E.22.b. Eligibility Criteria

1. Pay grade and rating. Candidate must be a Master Chief Petty Officer (E-9), in any rating, on active duty in the Coast Guard.

2. Training. Candidate must be a graduate of Chief Petty Officer Academy or DOD Senior Service Academy.

3. Service Obligation. The MCPOCG serves at the pleasure of the Commandant. However, candidates should be prepared to serve a 4-year tour and are expected to retire at the end of their tour as MCPOCG coincident with the retirement of the Commandant of the Coast Guard.

4. Personal Qualifications. Candidate must possess the highest standard of integrity, devotion to duty, financial responsibility, military appearance, and possess superb communications skills.

5. Administrative Qualifications. Must be eligible for a top secret and White House security clearance; not have been convicted by court-martial since attaining petty officer status; and not have a record of civil convictions other than minor traffic violation(s).

4.E.22.c. Application Process

Members desiring to compete for selection as the MCPOCG shall submit their application via their chain-of-command to Commander (CGPC-epm-2). All applications must be reviewed and endorsed by the first flag officer or SES in their chain of command. Applications shall be made in **memorandum** form and be accompanied by the following documents:

1. Copies of the past three Enlisted Employee Reviews, with appropriate comments if applicable, attached.
2. An 8 X 10 glossy photograph (un-retouched) of the applicant in service dress blue uniform, covered and standing to show full length with the left sleeve exposed to the lens.
3. A complete biographical statement, form CG-4035.
4. Two essays (300-500 words each) written by the applicant. The first essay should prioritize and discuss the challenges facing members and their families that require immediate budget and/or policy action. The second essay should address how the MCPOCG can support the Commandant in focusing on the Commandant's direction.
5. Any other information, not included in the candidate's official headquarters service record and/or Direct Access, they wish to be considered.
6. Provide an SF-86 for security clearance and background check.

4.E.22.d. Endorsement Considerations

The MCPOCG must embody the Coast Guard core values and be an outstanding performer possessing the personal qualities and abilities necessary to accomplish the missions and tasks set forth in the Command Master Chief Program, COMDTINST 1306.1(series). The CO's endorsement shall evaluate all facets of the applicant's record including performance of duty, military background, and personal characteristics. Additionally, such factors as personal appearance, attitude toward the Coast Guard, desire for the position, general knowledge of the Coast Guard's missions, communication and writing skills, and the importance of the position for which member is being considered must play an important part in the evaluation of each applicant.

Applicants may be married or single. If married, families should be aware that the member filling the MCPOCG position will be required to travel extensively and frequent short-term separations from the family will occur.

4.E.22.e. Selection Process

1. Complete application packages should be sent to Commander (CGPC-epm-2) to meet application deadline as published by ALCOAST applicant solicitation.
2. Complete packages will be assembled by Commander (CGPC-epm-2), ensuring all application criteria have been met. No waivers to the eligibility criteria will be granted.
3. Application packages will be submitted before a screening board who will make recommendations to the Commandant.

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4.F. Relief for Cause of Commanding Officer and Officer-in-Charge

4.F.1. General

4.F.1.a. Definition

Relief for Cause (RFC), the administrative removal of a commanding officer (CO) or officer in charge (OIC) from his or her current duty assignment before the planned rotation date, normally consists of a two-step process:

1. The flag officer in the unit's chain of command orders a temporary RFC; and

2. Commandant (**CG-12, CG-1**, G-CCS, G-CV, or G-C) orders a permanent RFC after reviewing the case.

4.F.1.b. Discussion

1. The need to Relieve for Cause may arise when a CO's or OIC's performance or conduct adversely affects his or her unit's morale, good order and discipline, and/or mission performance. One of the most severe administrative measures taken against a member in command, an RFC usually has a significant adverse impact on the member's future Coast Guard career, particularly on his or her promotion, advancement, duty and special assignments, and selection for schools. Therefore, the relieving officer must carefully consider the circumstances' gravity and the potential outcome's total implications before initiating the process.

2. Relieving authorities must perform a temporary RFC and required follow-up actions as expeditiously as possible, so the Commandant can quickly determine if permanent RFC is warranted.

3. It is not mandatory to temporarily relieve a member for cause if he or she is under investigation. The command has three options: maintain the status quo during the investigation, reassign the CO or OIC in a temporary duty status, and/or temporary RFC while the investigation continues. The command should carefully consider and affirmatively exclude the first and second options before exercising the third. Factors to consider in reaching this decision include: the severity of the alleged misconduct or unsatisfactory performance, the allegations' credibility, and their impact on the unit's morale, good order and discipline, and mission performance. A CO or OIC subject to a temporary RFC normally does not return to his or her command.

4.F.2. Authority for Relief for Cause

4.F.2.a. Temporary Relief

Director chiefs (for Headquarters units under their program), area commanders, district commanders, and commanders of maintenance and logistics commands have the authority to temporarily relieve a CO or OIC in their chain of command for cause. This RFC authority is personal to these officers' positions; it does not delegate to those who serve as acting office chief or commander. A temporary RFC normally does not exceed 90 days.

4.F.2.b. Permanent Relief

Only Commandant, (G-C), (G-CV), (G-CCS), (**CG-1**), and (**CG-12**) can order permanent Relief for Cause.

4.F.3. Basis for relief

4.F.3.a. Misconduct

Any act of civil or military misconduct may form the basis for RFC. Only in unusual instances will the Commandant approve RFC by reason of misconduct without disciplinary action taken or in progress. If the command takes none, he or she must attach an explanation of why disciplinary action is not warranted to the required documents accompanying the recommendation for permanent RFC action.

4.F.3.b. Unsatisfactory Performance

One or more significant incidents resulting from gross negligence or substantial disregard of duty may provide the basis for RFC. Substandard performance of duty over an extended period of time may also provide the basis for RFC, but only after the command has taken corrective action such as command counseling, guidance, training and appropriate use of performance evaluations which have proved unsuccessful.

4.F.3.c. Loss of Confidence

It is imperative his or her immediate superiors have full confidence in a member's judgment and ability to command due to the unique position of trust and responsibility he or she occupies; his or her role in shaping morale, good order, and discipline in the command; and his or her influence on mission requirements and command readiness. An articulated, fact-supported loss of confidence is a sufficient basis for RFC.

4.F.3.d. Inappropriate Personal Relationships

The existence of inappropriate relationships, including fraternization, that adversely affect the unit's morale, good order and discipline, and its mission performance may provide the basis for an RFC. Chapter 8.H. contains further guidance.

4.F.4. Procedures to Effect Relief for Cause (RFC)

Office chiefs, area commanders, district commanders, and commanders of maintenance and logistics commands have these responsibilities when initiating RFC action. Before doing so, they must take care to ensure they have not set expectations and standards unreasonably high. When instituting these procedures, they must make every effort to maintain the member's self-worth. The Coast Guard must do everything possible to ensure that, whether or not the member returns to his or her command, the RFC process does not excessively undermine his or her effectiveness and future contributions to the Service. After deciding to institute the temporary RFC process, the relieving authority must:

1. Notify the member in writing of:

    a. The RFC action being taken and the reason for it;

    b. His or her right to submit a statement in writing on his or her behalf within five working days of the temporary RFC action;

    c. The temporary duty station where the relieving authority will assign the member while the RFC action is pending.

2. Remove the CO or OIC from the unit's rating chain of all members and determine an interim rating chain for those crewmembers affected by this action.

3. Notify Commander (CGPC-epm) or (CGPC-opm) and Commandant (**CG-12**), (**CG-1**), (G-CCS), (G-CV), or (G-C) as appropriate, of the action taken, the events that caused it, the circumstances of any current or proposed investigation, and the expected completion date of any further action.

4. After reviewing the case's circumstances, the relieving authority may take these actions.

    a. If grounds for permanent RFC are not substantiated, terminate the temporary RFC process, return the CO or OIC to command, and notify Commander (CGPC-epm/opm), Commandant (**CG-12**), (**CG-1**), (G-CCS), (G-CV), or (G-C) as appropriate, of action taken; or

b. If grounds for permanent RFC are not substantiated, but as a result of the temporary RFC process the CO's or OIC's reinstatement would not be in the Service's and/or his or her best interest, terminate the temporary RFC process but recommend to Commandant (**CG-12**), via Commander (CGPC-epm) or (CGPC-opm), the CO's or OIC's PCS transfer, and fully document the circumstances surrounding the initiation of the temporary RFC process; or

c. Where grounds for permanent RFC appear substantiated, recommend the CO's or OIC's permanent RFC and send appropriate documentation to the Commandant and Commander (CGPC-epm) or (CGPC-opm), as appropriate..

4.F.5. Documentation Accompanying Permanent RFC Request

1. Name, rating/rank/rate, **EMPLID number**

2. Expiration of active obligated service

3. Retirement eligibility date

4. Date reported to current assignment

5. Detailed statement describing the facts and circumstances surrounding the request

6. All completed investigations

7. UCMJ action taken or proposed, or reasons no action is warranted

8. Police reports (if applicable)

9. Copy of member's acknowledgment of receiving the permanent RFC request per Exhibit 4.F.1.

10. Identity of attorney who provided counsel or member's statement declining the advice of counsel

11. Original of member's statement or member's statement he or she declined to submit a statement

4.F.6. Miscellaneous

1. The command must send all permanent RFC requests to Commandant (**CG-12**) via Commander (CGPC-epm) or (CGPC-opm).

2. Do not send a request for permanent RFC to the Commandant until the member has had the opportunity to make a statement on his or her behalf (normally five

working days). If the member fails to submit a statement within the allowed time, he or she waives the right to make such a statement.

3. The command must afford the member the advice of counsel within the meaning of UCMJ Article 27(b)(1) during the temporary RFC process and in preparing any statement he or she submits about the permanent RFC request. If he or she declines counsel, the permanent RFC request must note the member so declined.

4. The command should encourage the member to submit an **E-Resume**.

5. The command should promptly complete a**n employee review** of the member and submit it within 30 days of the Commandant's final action on the permanent RFC request.

6. Do not include administrative **memorandums** of censure or reprimand when submitting the RFC request to the Commandant. The command may use the facts on which an administrative **memorandum** is based to justify adverse marking or comments in the next evaluation.

Exhibit 4.F.1 Acknowledgement Letter

1001
(date)

Signature
From: (Member)
To: (Relieving Authority)

Subj: ACKNOWLEDGEMENT OF RECEIVING A COPY OF THE **MEMORANDUM** REQUESTING PERMANENT RELIEF FOR CAUSE

1. I have received the **memorandum** requesting my permanent relief for cause. I (do/do not) desire to make a written statement. I further understand I have five (5) working days from this date to submit my statement. If I so elect, the statement I submit in response will describe only the pertinent facts and not impugn others' motives or make countercharges.

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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 e. 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

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 30 June 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.

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 member must complete and meet the eligibility requirements listed below by 01 February before the May SWE or 01 August before the November SWE.

    a. Complete required performance qualifications and military requirements. Article 5.C.7.

    b. Complete required correspondence 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.

1. Be recommended by the commanding officer (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".

2. Members must 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.

3. 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

Individual Coast Guard commanding officers are responsible for execution of the advancement program. Failure to properly discharge this responsibility reflects adversely on command performance. Commanding officers 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.

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 commanding officer's 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. When a member otherwise eligible for advancement is evaluated as "Not Recommended", an entry on an Administrative Remarks, CG-3307, stating the reason(s) why, is required and the member shall be counseled on the steps necessary to earn a recommendation.

   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. The following entry must be made on an Administrative Remarks, CG-3307, when the commanding officer withdraws his or her recommendation.

(Date): Recommendation and nomination for advancement and participation in the (month and year) for Servicewide competition for (rate) is withdrawn. Reason: (Explain).

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 correspondence course.

9. Effecting Advancements. Upon notification through the Headquarters Advancement Announcement (HAA) 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 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 30 June preceding the October RSWE for personnel participating in the Reserve SWE. This is best accomplished when units verify receipt of PDEs. 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 satisfy the requirements for completion of performance qualifications. However, 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 commanding officer may waive the requirement. However, a waiver 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.

3. Personnel Authorized to Sign EPQs. A commissioned, warrant or senior petty officer normally evaluates 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. Performance qualifications are noncompetitive and no score is assigned.

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 during tours of active duty. This form shall normally be in the custody of the executive officer or division officer. At units where Personnel Data Records are not maintained, the commanding officer or officer in charge 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 personnel must complete the Military Requirements Course listed below before advancing to pay grades E-4 through E-7 as follows:

FOR ADVANCEMENT TO	REQUIRED MRN COURSE
E-4	MRNPO
E-5	MRNSPO
E-7	CPO

2. For those nonrated personnel attending a Class "A" school, the military requirements for pay grade E-4 will be met through successful completion of the

military requirements (MRNPO) test administered by the training command. For those Class "A" school students who successfully complete this test, the following Administrative Remarks, CG-3307, entry will be made in the Personnel Data Record:

[Date]: Passed test on knowledge factors of military requirements required for advancement to E-4.

3. For those Class "A" school students who do not successfully pass this test, the following, Administrative Remarks, CG-3307, Personnel Data Record entry shall be made:

   [Date]: Failed to pass test on knowledge factors of military requirements required for advancement to E-4.

4. Class "A" school students who have completed the rating portion of the course of instruction, but have not completed the MRNPO test may not be advanced until the MRNPO requirements are satisfied. To satisfy these requirements once graduated, they must complete the MRNPO course before advancement to E-4. The Institute will provide procedures for administering the MRNPO test and appropriate study materials to Class "A" School training commands.

5.C.8 Correspondence Courses

5.C.8.a. General

Correspondence courses are formal courses based on the qualifications for each rating as outlined in the Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (series). They are for the purpose of increasing the proficiency of assigned enlisted personnel in preparing for advancement or change in rating. A person may at any time commence study and complete a correspondence course for a higher rate. The **Coast Guard Institute ESO Procedures and Guides** list the Coast Guard correspondence courses relating to the advancement qualifications. **This information is available at http://www.uscg.mil.hq/cgi/esoguides.html.**

5.C.8.b. Mandatory Correspondence 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 Correspondence Courses

There is no requirement for a candidate to retake a correspondence course when a revised course is issued. However, when a course is reissued with a new course code, each member who is currently enrolled will receive a postcard notification by mail from the Institute. Completion of the new course is required for SWE eligibility. This information is also printed in the Coast Guard Institute's booklet "THE CORRESPONDER." Unit Educational Services Officer's (ESO) must ensure that this information is passed to all hands.

5.C.8.d. Date of Completion of Correspondence Course

The effective date of correspondence course completion is the date the member was administered the end-of-course test (EOCT) as reflected in Direct Access. EOCTs must be administered by 01 August preceding the November SWE and by 01 February preceding the May SWE.

5.C.8.e. Waiver of Completion of a Correspondence 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 correspondence 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 military requirements 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.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.

RATE	SCHOOL
AMT	Aviation Maintenance Technician (AMT) Class "A" Course
AVT	Avionics Technician (AVT), 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 Access to Classified Information

These ratings, including their related service ratings or designators, require eligibility to access to classified information:

AVT, AMT, AST, ET, GM, PA, **OS, IT**, YN.

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, AVT, AST, BM, EM, ET, FT, GM, HS, PA, QM, RD, **IT**, MK	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.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 (01 January following the May exam), 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 HRSIC (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, 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. Service in any other branch of the Armed Forces or their Reserve components, periods of inactive duty, periods between discharge and reenlistment, and deductible time.

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 readvancement 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 October 2002, effective date of PERSMAN, Change 37).

g. an MSST, when assigned to designated position as qualified coxswain.

h. a communications or radio station, when assigned as a TC/OS above paygrade E-3.

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 (including legacy QM) 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 (including legacy QM) **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 • 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. Effective Date of Advancement

All advancements shall be effective on the 1st or 16th 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 Above the Cutoff on Established Eligibility Lists. Commanding Officer, Personnel Service Center shall assign appropriate designators to those E-3 personnel who place above the cutoff on the striker 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 five, but not more than 36 months observation of performance of duty by the member concerned since reduction in rate. The observation time need not be totally at the present unit. 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 Article 5.C.4.

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 appointment certificates will be issued to Coast Guard members upon receipt of proper advancement authority:

1. Petty Officer Appointment Certificate, DD-216 CG.

2. Chief Petty Officer Appointment Certificate, DD-216 CG-4.

3. Senior Chief Petty Officer Appointment Certificate, DD-216 CG-1.

4. Master Chief Petty Officer Appointment Certificate, DD-216 CG-2.

5. Master Chief Petty Officer of the Coast Guard Appointment Certificate, DD-216 CG-3.

5.C.35.b. Procuring Petty Officer Appointment Certificates

Petty Officer Appointment 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 Appointment 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 Appointment Certificates

PSC(adv) will issue Chief Petty Officer certificates when each monthly advancement announcement is published. The appointment 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. Appointment Certificate after Reduction

When issued, the appointment 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.

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5.D. Procedures for Servicewide Examinations for Advancement or Change in Rating

5.D.1. Personnel Data Extract Description and Verification Process

5.D.1.a. General

The Personnel Data Extract (PDE) is the command and members' tool to verify that the information for correctly computing the Servicewide Examination (SWE) Final Multiple.

5.D.1.b. Collecting the PDE Information

Commanding Officer, Personnel Service Center (adv) collects the PDE information from the members' Direct Access data. A crucial part of accurate data collection is timely entry in Direct Access. Members, commands, and **Servicing Personnel Offices** (**SPOs)** should ensure the necessary Direct Access entry is completed promptly.

5.D.1.c. PDE Information

For a more detailed description and examples of the printed and online PDE, see Servicewide Examination (SWE) Guide, PSCINST M1418.1 (series) available on the PSC website at: http://www.uscg.mil/hq/psc/.

1. **Where computations use the "Eligibility Date", (date member must meet all eligibility requirements), points are computed to:**

1 February	**preceding the May SWE**
1 August	**preceding the November SWE**
1 July	**preceding the October Reserve SWE**

2. **Where computations use the "Terminal Eligibility Date", (TED) (date that the eligibility list becomes effective), points are computed to:**

1 January	**following the May SWE**
1 July	**following the November SWE**
1 January	**following the October Reserve SWE**

3. **The following information is contained in the printed PDE which is mailed to the member's unit:**

   - **Rate, Name: Member's current rate and full name.**

   - **EMPLID: Employee Identification Number.**

- **Perm Unit: Name of unit member currently assigned to.**

- **OPFAC. Operating Facility Number of members current unit.**

- **SPO: Name of Servicing Personnel Office which services the unit.**

- **OPFAC: Operating Facility Number of the SPO.**

- **Award Points: Current number of points for awards with point value.**

- **CO Recommendation: Shows "Y" or "N" for CO's recommendation on latest final/approved Enlisted Employee Review submitted in Direct Access.**

- **Marks Final Multiple: Shows average of marks received within the period of time listed in the ALCGENL or ALPERSCOM announcing the upcoming SWE.**

- **Cred SWE Sea Time: Credit for each full month of Coast Guard sea duty earned after 1FEB94, not to exceed 2 points per year or 0.1667 points per full month, with a maximum of 30 points in a career. See Chapter 5.C.15. and 16. For members currently serving on sea pay eligible units, points are computed up to the Eligibility Date.**

- **End of Course Test(s) Complete: Shows "Y" or "N" for all required EOCTs being completed and passed.**

- **AD Base Date: Shows date or adjusted date of creditable active duty service.**

- **DOR: Date of Rank shows date that member was advanced to their current grade.**

- **TIS: Shows "Time in Service" computed up the Terminal Eligibility Date.**

- **TIR: Shows "Time in Rank" computed up the Terminal Eligibility Date.**

- **Evaluations: Shows conduct and competency scores from Enlisted Employee Reviews which will be used to compute the Marks Factor (Marks Final Multiple) for this cycle.**

- **Creditable Awards: Lists only those awards with point values that were entered into Direct Access prior to the Eligibility Date.**
  See Chapter 5.C.3.

- **Disqualifying Information: Will give details of why a member is not qualified.**

- **<u>Signature Block</u>: By signing, the member acknowledges the PDE is correct. If changes are required, the member must address them prior to signing.**

5.D.2. Candidates in Transit on Examination Date

5.D.2.a. General

Preferably every candidate who is fully qualified and recommended should be examined by his or her regularly assigned examining board. A regularly assigned examining board or Educational Services Officer (ESO) of any military service may administer an SWE to personnel in transit (PCS, TAD, or on leave) on the scheduled SWE date. Members in transit must pay for any travel expense necessary to arrive at the SWE administration location. The government will not reimburse members for these expenses.

5.D.2.b. Changing Exam Board OPFAC

If the unit administration or ESO knows a member will be TAD, PCS, or on leave on the test date, he or she should contact the member's **SPO.** When advised, the **SPO** will submit the appropriate transaction to change the member's OPFAC to the unit that will be administering the SWE.

1. If the transaction is completed within the deadline stated in the Procedural Guidance for the Active and Reserve Servicewide Examination Cycles, PSCINST 1418 (series), the members PDE will reflect the corrected examination board OPFAC.

2. If the transaction is not completed within the deadline stated in Procedural Guidance for the Active and Reserve Servicewide Examination Cycles, PSCINST 1418 (series), **PSC(adv)** will mail the examination to the OPFAC listed on the PDE. Submit requests for changing the Examination Board OPFAC to PSC(adv).

5.D.3. Substitute Examinations

5.D.3.a. General

1. The entire advancement system is based on the premise that candidates will participate for advancement on an equal basis. Substitute SWEs can be a source of inequities to candidates. Since the SWE given on a regularly scheduled date cannot be given as a substitute, the candidate must participate on a different basis. Although substitute SWEs are closely related, they are not identical. Therefore, substitute SWEs are discouraged.

5.D.3.b. Criteria for Substitute SWEs

To qualify for a substitute SWE, an individual must have been fully qualified for the normal SWE by 01 February for the May SWE or by 01 August for the November SWE. Each member is responsible for meeting qualifications before the deadline. If a member meets the qualifications before the established deadline and through administrative error does not receive an examination, the member may be allowed to take a substitute SWE. Commanding officers must justify each request for a substitute SWE using the following criteria:

1. The candidate must have been recommended for participation in the regularly scheduled examination.

2. The candidate's absence from the regularly scheduled examination must have been through no fault of his or her own and, due to:

   a. Emergency leave where the situation precludes the candidate from participating; e.g., location, emotional state, etc.

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

   c. Operational commitments of such nature that delaying administration of the regularly scheduled SWE was not feasible. See Article 5.D.7.

5.D.3.c. Ordering Substitute SWEs

Send all requests for substitute SWEs via message to PSC(adv) in the following format:

R_____MMM YY
FM: (UNIT PLAD)
TO: COGARD PSC TOPEKA KS//ADV//
BT
UNCLAS//N01418//
SUBJ: REQUEST FOR SUB SWE FOR (RATE, FULL NAME, EMPLID, USCG)
A. ART 5.D.3, CG PERSMAN
B. PSCINST 1418.1(SERIES)
1. IAW REF A REQ SUB SWE FOR SNM BE FORWARDED TO EXAM BOARD OPFAC XX-XXXXX TO BE ADMIN ON (DATE) AND RETURNED BY FASTEST MEANS.
2. (COMPLETE REPORT OF CIRCUMSTANCES SURROUNDING REQUEST).
3. POC IS (RATE, NAME, TEL#)
BT

Include in paragraph two of the message, a complete report of the circumstances surrounding the request as described in Article 5.D.3.b. The local examining board should normally resolve the need and justification for a substitute SWE within a day or two of the regularly scheduled SWE date. Make requests within one week of the scheduled SWE date. Administer all substitute SWEs within three working days of receiving the substitute SWE and return them within thirty days of the regularly scheduled SWE date. When operational commitments do not allow administering the exam within three working days after receipt, the unit shall request an alternate date from PSC (adv).

5.D.4. Receipt, Handling, and Accountability of Examinations

5.D.4.a. General

Commanding officers are responsible for receiving, handling, stowing, and accounting for SWEs. They must maintain SWE integrity to ensure equitable advancement opportunity. All echelons of the command must be constantly alert to prevent any unauthorized disclosure of the contents of the Servicewide examinations. Commands are also enjoined to continually review local examination custody procedures in order to ensure strict security and accountability of examinations. Examinations shall at all times be in sole custody of a commissioned officer except during actual administration. Relief of accountability will be established when all examinations have either been forwarded to another examining board for administration via Federal Express or Registered Mail, Return Receipt Requested, signed as received by the receiving command or returned to PSC. Registered Mail, Return Receipt Requested or Federal Express must be used in mailing all examination related material. Note: Classified examinations may only be mailed via Registered Mail.

5.D.4.b. Stowage of Examinations

The greatest care must be taken in stowing examinations. Some examinations are classified CONFIDENTIAL, based on the contents. Although not classified, all other examinations, are FOR OFFICIAL USE ONLY and must be handled accordingly.

5.D.4.c. Minimum Requirements for Secure Stowage

The following minimum procedures must be observed in the stowage of Servicewide examinations:

1. Examinations and related material must be in the direct custody of a commissioned officer at all times, both prior to and after administration.

2. Examinations, completed answer sheets, and scratch paper used during administration of the examination must be stowed in a safe, vault, or other securely locked space fastened with a three-combination lock, accessible only to a commissioned officer.

3. The contents of an examination must not be available to enlisted personnel at any time, except during administration and then only to those personnel authorized to participate.

4. Reproduction or retention of any part of a Servicewide examination in any form, except by Commanding Officer, Personnel Service Center, is forbidden.

5.D.4.d. Report of Loss or Compromise of Examinations

1. In any case, where the loss or compromise of a Servicewide examination is discovered or circumstances indicate that loss or compromise is possible, a full report shall be immediately forwarded to Commander (CGPC-epm-1), with a copy to the Commanding Officer, Personnel Service Center (adv).

2. If all facts are not readily available, the commanding officer should convene an investigation in accordance with the Administrative Investigations Manual, COMDTINST M5830.1 (series). The record of proceedings in the investigation shall be forwarded in accordance with the Administrative Investigations Manual, COMDTINST M5830.1 (series), with advance copies submitted to Commander (CGPC-epm-1) and Commanding Officer, PSC (adv) in amplification of the report required above.

5.D.5. General Instructions for Administration of Servicewide Examinations

5.D.5.a. Establishment of Local Examining Boards

To ensure that candidates for advancement or change in rating are examined on an equitable basis, the procedures herein shall be followed for the establishment of local examining boards.

5.D.5.b. Eliminate Need for Substitute Examinations

Wherever possible, commands should revise watch lists, special duty assignment, etc., to preclude candidates from being penalized by lack of sleep, late reporting, etc., and further to eliminate the need for substitute examinations.

5.D.6. Local Examining Boards

5.D.6.a. Establishment

Local examining boards shall be designated for each unit. Commanding officers may establish their own boards or may join with other commanding officers to establish a single local board. The examining board shall consist of at least one commissioned officer. However, Master Chief and Senior Chief Petty Officers serving as Officer-in-Charge may serve as head of the local exam board if no commissioned officer is readily available and they are only administering exams for members desiring to advance to E-7 and below. If additional personnel are needed to assist in monitoring the Servicewide examination, chief petty officers, and competent senior petty officers, who are not in the current examination cycle, may be assigned to assist in monitoring Servicewide examinations, as long as the examination they monitor is not above their current pay grade. This assignment should be made at least 45 days before the scheduled examination date.

5.D.6.b. Duties of Examining Boards

Examining boards are responsible for receipt, administration, and disposition of examinations in accordance with instructions in this section and "Instructions for the Administration of Coast Guard Servicewide Examinations" provided by Commanding Officer, Personnel Service Center (adv) with each shipment of examinations. To achieve maximum efficiency and avoid delay, the examining board may communicate directly with Commanding Officer, PSC (adv), on matters related to administration of examinations. Examining Boards are the point of contact for members in the field with questions concerning the Servicewide examination.

5.D.6.c. Preparation for Administration

1. Approximately one month before the scheduled date of the examination, the senior member of the examining board should conduct a meeting of the board to review all directives on the advancement system and explain any new procedures in the system. Preliminary arrangements should be made for the following:

    a. Adequate examining room(s).

    b. Proctors required to assist in administration.

    c. Notification of examination date and times to candidates.

    d. Materials required to administer the examinations.

    e. Secure stowage for examinations and materials.

    f. Preparation of a seating arrangement. Candidates taking examinations in the same rating should not sit next to or across from one another.

2. At least ten days before the scheduled date of examination, the examinations should have been received from Commanding Officer, Personnel Service Center. If they have not been received, notify PSC (adv) via message or E-mail.

3. On receiving the examinations, the examining board shall complete the following:

   a. Open the outer and inner packages and check the individual examination envelopes against the shipping list. Do not open the plastic bag that the examination is sealed in. If discrepancies exist, the **Personnel Service Center** shall be notified by message or e-mail. Examination bags shall not be opened before the scheduled examination date. They shall be delivered sealed to each examinee.

   b. Ascertain that the proper examination is on hand for each candidate assigned to the examining board. Accomplish that by obtaining from the executive officer, personnel officer, or unit yeoman a complete list of members recommended by the command to participate in the examinations and a list of the members who have reported or who have been transferred since submission of the respective evaluations. Compare these lists against the examinations on hand and take the following actions as appropriate:

      (1) If an examination has been received for a rate other than the rate for which a member is to be examined, notify Commanding Officer, **PSC(adv)** by message or E-mail immediately.

      (2) If no examination was received, determine from the member's PDE, if the member was qualified to receive an examination. If the member is qualified, check the Examining Board OPFAC, to identify where the examination was mailed. The command is responsible for contacting the ESO of the command that the examination was mailed to and make arrangements for the examination to be forwarded to the correct Examining Board.

      (3) Forward examinations for personnel authorized to be examined by other examining boards. Annotate the shipping list to reflect the registered mail or federal express number.

5.D.6.d. Provision of Required Material

The following materials must be on hand for each candidate:

1. The unopened examination for the appropriate rating and pay grade.

2. Two sheets of scratch paper. Additional paper may be supplied during the examination, if required.

3. Two No. 2 lead pencils.

4. Maneuvering boards, parallel rulers, and dividers for candidates for the **Boatswain's Mate and Operations Specialist** ratings. NOTE: Slide rules and non-programmable electronic calculators may be used by candidates in any rating. Slide rules and calculators must be inspected by the examining board to ensure they do not have any formulas or other helpful information on them. The board shall also ensure that no programmable calculators are allowed into the examining room(s), the memory bank(s) of each calculator is vacant both before and after examination administration, and the instruction book for the calculator is not present.

5.D.7. Scheduling examinations

5.D.7.a. Semiannual Schedule of Examinations

Examinations for advancement or change in rating will be administered in May and November of each year in accordance with the schedule contained in Article 5.C.3. When necessary, deviations from this schedule will be announced in a CGPC ALCGENL before the examination period.

5.D.7.b. Administration Day

Examinations will normally be administered, by pay grade, on the first Thursday (E- 5 AM and E-7 PM) and following Tuesday (E-6 AM and E-8/E-9 PM) of May and November. Administration dates will be announced by a CGPC ALCGENL message.

5.D.7.c. Deviation from Scheduled Administration Date

Examinations shall not be administered prior to the scheduled date. Commanding officers of vessels underway on the scheduled examination date may delay examinations up to ten days subsequent to the scheduled date. Commanding Officers exercising this option must ensure exam takers have not communicated with personnel who have already taken the examination(s). Examinations may not be delayed more than ten days from the scheduled date unless specifically authorized by PSC (adv).

5.D.7.d. Recommended Time Schedule for Administration

The exact time schedule is left to the discretion of the commanding officer. However, the time limits prescribed for the examinations shall not be exceeded and no break shall be allowed. Care should be taken that nearby activities do not conduct examinations at such time that compromise is possible. The following schedule shall apply unless deviation is considered necessary:

0800	Candidates with ID cards and proctors muster.
0810	Distribution of sealed examination envelopes and all other material required for administration.
0820	Reading of "Verbatim Instructions to Candidates" provided with the

	examinations, and filling in of required information, if needed.
0830	Commence examination. TIME LIMIT: THREE-AND-ONE HALF (3½) HOURS.

The examining board verifies the candidates' returns before they may leave the examining room.

5.D.8. Administration of Examinations

5.D.8.a. Preliminary Arrangements

On the date scheduled for administration, the examining board will muster the candidates and seat them in the examining room(s) according to the planned arrangements. After distributing the required examination material, a member of the examining board will read the "Verbatim Instructions to Candidates" furnished by the Coast Guard Institute.

5.D.8.b. Supervision of Examinations

Each examining room shall be under the direct supervision of at least one member of the examining board who will be present at all times during administration of the examinations. Proctors senior to those being examined shall be assigned to assist the examining board. A sufficient number should be assigned to achieve a ratio of not less that one examining board member or proctor to each 25 candidates. Proctors may be officers or chief petty officers. Officers should be assigned to proctor E-8 and E-9 examinations. Members of the examining board and proctors must have security clearance at least equal to the classified examinations.

5.D.8.c. Responsibilities of Board Members and Proctors

Examining board members and proctors may explain the meaning of the instructions on the face of the examination booklet but they shall never interpret examination items, engage in a discussion about items or assist in any way in their solution. Examining board members shall be alert for and report any collusion among candidates.

5.D.8.d. Candidates' Absence During Examination

Candidates will not be permitted to leave prior to completing their examination except for emergency reasons, and then only if accompanied by an escort designated by the examiner. A member of the examining board shall assume possession of all examining materials during the candidate's absence. Any candidate leaving without the permission of an examining board member shall be disqualified.

5.D.8.e. Completion of Examinations

After each candidate has completed the examination, a member of the examining board will collect the candidate's examination materials and ensure that his or her answer sheet is completed with proper coding.

5.D.8.f. Maintenance of Examination Materials

All examination booklets, examination envelopes, answer sheets, and related examination material shall be maintained in the secure custody of a designated examining board officer until after the last day of administration.

5.D.9. Returning Examinations

5.D.9.a. Annotation of Shipping List

Annotate the shipping list to show the disposition of each examination, i.e., "administered and returned answer sheets," "forwarded to OPFAC 12-14869 - Registered Mail No. _____, or Federal Express No. _____, "not administered." Make additions to the listing for all examinations received from other commands - show all identification data, including source of examination. Return the original examination with the answer sheets and challenge questions, retain one copy of the completed list for future reference.

5.D.9.b. Destruction of Examination Materials

Return only the answer sheets and challenge questions to PSC. Authorized personnel with a security clearance matching the classified examination's security level will destroy all classified examinations within ten days after the administration date in accordance with **Classified Information Management Program Manual, COMDTINST M5510.23 (series)**. The command's senior examining board member will burn or shred all unclassified servicewide examinations within ten days of the administration date. All scratch paper used shall be destroyed with the servicewide examination booklets. Destroy all unclassified examinations in the same manner as the classified examinations.

5.D.9.c. Returning Examinations

Care must be exercised to ensure that examination returns are completed and accurate. Article 5.D.14 is a check list which should be used by the commissioned officer responsible for returning the examinations.

5.D.9.d. Forwarding Answer Sheets

Forward all answer sheets and challenge questions to Commanding Officer, Personnel Service Center (adv), within three days of the last examination date, via Registered Mail, Return Receipt Requested or Federal Express. Units unable to meet this requirement because of operational commitments or mail schedules shall return examinations at the earliest opportunity. NOTE: Do not return examination booklets to PSC. Authorized personnel and examining board's will destroy all examination booklets in accordance with Article 5.D.9.b and the **Classified Information Management Program Manual, COMDTINST M5510.23 (series)**.

5.D.10. Receipt and Administration of Substitute Examinations

5.D.10.a. Procedures for Substitute Examinations

The procedures outlined in Articles 5.D.4, 5.D.8, and 5.D.9 will be used for receipt, accountability, administration, and return of substitute examinations.

5.D.10.b. Administration of Substitute Examinations

Substitute examinations will be administered and returned to Commanding Officer, PSC within three working days after receipt. If command operations do not permit, request additional time from PSC by message or E-mail.

5.D.11. Examinations received too late to administer

Examinations which are received too late to administer shall be returned to Commanding Officer, PSC unopened. Indicate the reason for late delivery on the shipping list, if known.

5.D.12. Examination Result Letters

5.D.12.a. Examination Profile Form, PSC-4336

Each candidate in the Servicewide examination will receive a servicewide examination profile form, **PSC**-4336, from Commanding Officer, PSC. The purpose of the letter is to inform the candidate of his or her strengths and weaknesses and to report his or her standing both on the examination competition and on the eligibility list. The text of the letter will supply the following information:

1. Candidate's numerical standing on the written examination in relation to the total number of candidates.

2. Candidate's final multiple standing on the eligibility list.

3. Candidate’s performance in the total examination, by percentage.

5.D.12.b. Examination Results Letter

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

5.D.13. Notes to Proctors

5.D.13.a. Preventing Collusion

Proctors and monitors must exercise great care to prevent collusion.

5.D.13.b. Information on Answer Sheets

Allow sufficient time for candidates to fill in information on answer sheets required by these instructions, if necessary.

5.D.13.c. Circulation of Proctors

Proctors should circulate to ensure compliance with instructions.

5.D.13.d. Check for Completeness

Before a candidate is permitted to leave the examination space, proctors will check answer sheets for completeness, ensuring that all information has been correctly entered.

5.D.14. Examination Returns Check List

This check list is provided as an aid in verifying examination returns prior to forwarding them to Commanding Officer, PSC. The examining board should ensure:

1. The candidate's name, social security number, and other required information are printed on the answer sheet.

2. All identification data is properly coded on the answer sheet.

3. All examination responses are properly marked.

4. All erasures are clean and all stray marks are removed.

5. Answer sheets and challenge questions are placed together and placed doubled wrapped with the inside envelope marked: FOUO TO BE OPENED BY PERSONNEL AUTHORIZED TO HANDLE EXAMINATIONS.

6. Prepare all examination and scratch paper for destruction. Unclassified examinations will be destroyed by the senior examining board officer. Classified examinations will be destroyed by the senior examination board officer or personnel authorized to handle and destroy classified material. Ensure the destroying officer has the appropriate security clearance. See Article 5.D.12.b. and the **Classified Information Management Program Manual, COMDTINST M5510.23 (series)**.

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6.B Enlisted Personnel Qualifications

6.B.1. Officer in Charge (OIC) Insignia

6.B.1.a. Afloat Eligibility

Enlisted personnel of the Coast Guard and Coast Guard Reserve are eligible to wear the Coast Guard Officer in Charge Afloat Insignia provided they:

1. Are currently assigned by Commander, (CGPC-epm) as the designated, not acting, Officer in Charge (OIC) of a floating unit with an OPFAC number and the OIC billet requires certification per article **4.C.6.d.**

2. Are verified and documented by proper authority as having satisfactorily served as the designated OIC of a floating unit with an OPFAC number for a minimum period of six months.

6.B.1.b. Ashore Eligibility

Enlisted personnel of the Coast Guard and Coast Guard Reserve are eligible to wear the Coast Guard Officer in Charge Ashore Insignia provided they:

1. Are currently assigned by Commander, (CGPC-epm) as the designated, not acting, OIC of a shore unit with an OPFAC number, and the OIC billet requires certification per article **4.C.6.d.**

2. Are verified and documented by proper authority as having satisfactorily served as the designated OIC of a shore unit with an OPFAC number for a minimum period of six months.

6.B.1.c. Authority

The authority to wear the appropriate OIC Insignia shall be granted as follows:

1. OICs who meet the above requirements and are currently assigned pursuant to orders issued by Commander, (CGPC-epm) are authorized to wear the appropriate OIC Insignia.

2. Upon permanent detachment from the OIC duty, the command having custody of the member's Personnel Data Record will, in appropriate cases, grant authority to wear the appropriate insignia for the successful completion of at least six months as OIC.

3. Enlisted personnel on active duty who are not currently serving as OIC but who have met the eligibility requirements as outlined herein may submit a request to the command having custody of their Personnel Data Record for authorization.

4. Retired personnel and inactive reserve personnel who believe they meet the eligibility requirements may submit requests directly to Commandant (**CG-1222**).

6.B.1.d. Manner of Wearing

These insignia shall be worn in accordance with the Uniform Regulations, COMDTINST M1020.6 (series). Only one size OIC insignia is authorized for wear on all occasions. Enlisted personnel who have been awarded an Officer in Charge Insignia and are subsequently advanced to officer status may continue to wear the enlisted insignia until they qualify for the Command at Sea or Command Ashore Insignia.

6.B.1.e. Officer in Charge Certificate

Enlisted personnel of the Coast Guard and Coast Guard Reserve who are eligible for either Officer in Charge Insignias shall be furnished the appropriate Officer in Charge Certificate. The certificate shall be furnished by the command who certified eligibility.

6.B.1.f. Issue and Procurement

The initial awarding of these insignias will be made with an appropriate ceremony. The initial issue of these insignias will be provided to the individual by the Coast Guard, and will be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are the responsibility of the individual.

6.B.2. Coxswain Insignia

6.B.2.a. Eligibility

1. Enlisted personnel of the Coast Guard and Coast Guard Reserve, including inactive reservists, are eligible for **temporary wear (while assigned to the operational unit where certified) of** the Coxswain Insignia provided they:

   a. Successfully complete the Coast Guard Rules of the Road Exam (NAVRULES) or an approved Rules of the Road course and,

   b. Complete the Coxswain qualification and certification process for a Coast Guard boat (skiffs, punts, and personal watercraft do not apply) and,

   c. Complete six months' satisfactory service at an operational unit as a certified boat coxswain and,

d. Have appropriate entries made in Direct Access for boat types with competency codes or the Training Record Folder (CG-5285) for boat types without competency codes.

2. Enlisted personnel of the Coast Guard and Coast Guard Reserve, including inactive reservists, are eligible for permanent wear of the Coxswain Insignia provided they:

a. Complete steps 1-4 from above and,

b. Complete five cumulative years satisfactory service at an operational unit as a certified boat coxswain on a Coast Guard boat (skiffs, punts, and personal watercraft do not apply). At least two of the five years must include service as a Coxswain at a unit operating boats 25 feet or greater.

6.B.2.b. Authority

The authority to wear the Coxswain Insignia shall be granted as follows:

1. Enlisted personnel on active duty who are currently serving as coxswains and who have completed the eligibility requirements as outlined herein, may submit requests to the command having custody of their Personnel Data Record for an appropriate CG-3307, Administrative Remarks, entry and authorization.

2. Personnel who once qualify for the Insignia may continue to wear it without regard to the method of obtaining the **competency** or their present rate or grade.

3. Reservists who complete the eligibility requirements during INACDUTRA or ACDUTRA and are certified by an active duty commanding officer or group commander may submit requests to District Commander (a) for authorization.

6.B.2.c. Manner of Wearing

This Insignia shall be worn in a similar manner as prescribed for other breast insignia. Only one size insignia is authorized for wear on all occasions. Refer to Uniform Regulations, COMDTINST M1020.6 (series).

6.B.2.d. Issue and Procurement

The awarding of this Insignia will be made with an appropriate accompanying ceremony. The initial issue will be provided to the individual by the Coast Guard, and will be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are the responsibility of the individual.

6.B.2.e. Coxswain Certificate

Enlisted personnel of the Coast Guard and Coast Guard Reserve who are eligible for the Coxswain Insignia shall be furnished a Coxswain Certificate, CG-5063. This certificate shall be furnished by the command who certified eligibility.

6.B.3. Aircrewman Insignia

6.B.3.a. Designation

To be designated as aircrewman, personnel must successfully complete the Aircrewman Training Program and be physically qualified. The program will consist of correspondence courses combined with flight syllabus, on-the-job training, and locally administered check flights. The Aircrew Training Program recognizes the various levels of expertise of Coast Guard aircrewmen and permits a step progression through several levels of training.

6.B.3.b. Authority

Commanding officers of air units may award Aircrew Insignia in recognition of designation as aircrewman when the candidate has successfully completed the Aircrewman Basic Course and demonstrated an aeronautical adaptability by completion of the units syllabus for aircrew designation. The right to wear the aircrew breast insignia is rescinded when any of the following occurs:

1. The commanding officer determines that the individual is no longer professionally qualified and revokes the designation; or

2. The individual no longer volunteers for aircrew flight duty.

6.B.3.c. Manner of Wearing

The Aircrew Insignia consists of a breast insignia prescribed by Uniform Regulations, COMDTINST M1020.6 (series). Designated (current or lapsed) aircrewmen are authorized to wear the breast insignia.

6.B.3.d. Issue and Procurement

The awarding of this Insignia will be made with an appropriate accompanying ceremony. The initial issue will be provided to the individual by the Coast Guard, and will be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are a responsibility of the individual.

6.B.4. Surfman Insignia

6.B.4.a. Eligibility

Enlisted personnel of the Coast Guard and Coast Guard Reserve are eligible to wear the Surfman Insignia provided they:

1. Certify as a coxswain at an operational unit as detailed in Article 6.B.2.a.
2. **Certify as surfman at an operational unit or the National Motor Lifeboat School and be assigned the SJ, SK, SM, SU or NLBS qualification code, or have been previously certified as a surfman with the old HW qualification code and have served at a station with an MLB or a surf capable SPC attached.**
3. Have appropriate entries made in the Personnel Data Record (PDR) to reflect certification, or provide supporting documentation to verify previous certification.
4. **Forward a copy of their surfman qualification letter to Commanding Officer, National Motor Lifeboat School.**

6.B.4.b. Authority

The authority to wear the Surfman Insignia shall be granted as follows:

1. Enlisted personnel on active duty and reservists who are currently serving as Surfman or who have previously served as Surfman and can document that certification, may submit requests to the command having custody of their PDR for an appropriate **competency** code entry.
2. Personnel who qualify to wear the insignia, or have met these eligibility requirements during a previous assignment, may wear the insignia without regard to the method of obtaining the **competency** or their present rate or grade.
3. Assignment of the appropriate **competency** code shall serve as authorization to wear the Surfman Insignia.

6.B.4.c. Manner of Wearing

This insignia shall be worn in accordance with Uniform Regulations, COMDTINST M1020.6 (series).

6.B.4.d. Issue and Procurement

The awarding of this insignia and certificate will be made with appropriate accompanying ceremony. The initial issue will be provided to the individual by the Coast Guard, and will be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are the responsibility of the individual.

6.B.4.e. Surfman Certificate

Enlisted personnel of the Coast Guard and Coast Guard Reserve who are eligible for the Surfman Insignia shall be furnished a Surfman Certificate, CG-5063C, by the Command who certified eligibility.

6.B.5 Company Commander Insigina

6.B.5.a. Permanent Eligibility.

Enlisted personnel of the Coast Guard and Coast Guard Reserve, including active reservist, are eligible to permanently wear the Company Commander Insignia provided they:

1. Have successfully completed a Company Commander assignment (regardless of duration) prior to August 1996, or

2. Have successfully met all requirements of a Company Commander assignment after August 1996 and completed 12 consecutive months of Company Commander assignment. Detached reservists who meet these requirements may waive the consecutive duty requirements as necessary to achieve 12 months of assignment as a Company Commander, and

3. Have appropriate entries made in **Direct Access** to reflect eligibility.

6.B.5.b. Temporary Eligibility.

Personnel serving as Company Commanders and have met all requirements of a Company Commander assignment established after August 1996, but have not yet completed 12 consecutive months are eligible to temporarily wear the Company Commander Insignia.

6.B.5.c. Authority.

The authority to wear the Company Commander Insignia shall be granted as follows:

1. Enlisted personnel on active duty and reservists serving as Company Commanders or who have previously served as Company Commander and can provide supporting documentation may submit requests to the command having custody of their PDR to have the appropriate entries made.

2. Personnel who qualify, may wear the Insignia without regard to the method of obtaining the qualification or their present rate of grade.

6.B.5.d. Manner of Wearing

This Insignia shall be worn in accordance with COMDTINST M1020.6 (series), Uniform Regulations.

6.B.5.e. Issue and Procurement

The awarding of this Insignia will be made with appropriate accompanying ceremony. The initial issue will be provided to the individual by the Coast Guard, and will be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are the responsibility of the individual.

6.B.6 Flight orders for Enlisted Personnel

Refer to the Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 (series).

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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 except for ensigns and lieutenants (junior grade). 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 officers' 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 promulgating the contents of Inactive Duty Reserve Boards, COMDTINST 1401.4 (series), Schedule of Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), and Training and Educational Manual, COMDTINST M1500.10 (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. Rapidraft Letter, E-mail) if the official copy of the 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 1401.4 (series), 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 OSF worksheet, or other format specified by the Supervisor, may be used as an aid.

d. Encourages the use of the optional 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 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), 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 departing.

3. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). Supervisors shall conduct beginning and end-of-period meetings and are required to maintain a record of significant performance related events for all Reported-on Officers in these grades as prescribed in c., d., and f. above. In cases of geographic separation, telephone or written exchange of information may suffice.

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 at:

         (a) Area Commands.

         (b) Maintenance and Logistics Commands.

(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 may 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, 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 (i.e., 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 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; 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 may 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 Inactive Duty Reserve Boards, COMDTINST 1401.4 (series) and Schedule of 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. Ensure 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 the Personnel Decision System (PDS), 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. Returns the official (validated) copy of the OER to the Reported-on Officer when the original OER is filed in the officer's record. This usually occurs within 45 days after receipt of the OER at Commander, (CGPC-rpm) or Commander (CGPC-opm-3). An official (validated) copy of reserve OERs are sent to the Integrated Support Command (to be used for assignment purposes only).

   e. Provides Reporting Officers, upon request, their historical comparison rating pattern.

f. Develops and implements system changes as necessary to maintain a healthy system.

g. Maintains all applicable instructions and forms and recommends policy governing the OES.

h. Responds to individual and command requests related to OES policy.

i. Provides training on the OES, subject to resource availability.

j. 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.

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 **(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)

10.B. Enlisted Employee Review System (EERS)

10.B.1. General

10.B.1.a. Purpose

The Enlisted Employee Review System (EERS) has been designed to serve several specific purposes:

1. To set standards by which to evaluate the performance and behavior of all enlisted members;
2. To inform enlisted members of the performance standards they will be measured against;
3. To provide a means by which enlisted members can receive feedback on how well they are measuring up to the standards;
4. To capture a valid, reliable assessment of enlisted members' performance, so the Coast Guard may advance and assign members with a high degree of confidence;
5. To provide critical information that may affect discharges, re-enlistments, good conduct, advancement eligibility, and reductions in rate. The enlisted employee review is not only used to document an individual's past performance, but more importantly, to provide a road map for future improvement.

10.B.1.b. Policy

Each commanding officer/officer in charge must ensure all enlisted members under their command receive accurate, fair, objective, and timely enlisted employee reviews. To this end, the Service has made enlisted performance criteria as objective as possible, within the scope of jobs and tasks enlisted personnel perform. In using the Enlisted Employee Review System, strict and conscientious adherence to the specific wording of the standards is essential to realizing the purpose of the enlisted employee review process.

10.B.2. Required Supporting Remarks

10.B.2.a. Discussion

1. Supporting remarks are required to be submitted along with the enlisted employee review, up through the marking chain to address the future leadership potential of all enlisted personnel, E-6 and above, and for any recommended marks of 1, 2, or 7, unsatisfactory conduct mark, or not recommended for advancement. Articles 10.B.6.a., 10.B.7. and 10.B.9.a.

   a. Enlisted employee reviews that result in assignment of an unsatisfactory conduct mark or low competency marks as defined in Article 10.B.8.a. must be supported by an adverse remarks entry for:

      (1) Non-judicial punishment;

(2) Court-martial;

(3) Civil conviction;

(4) Financial irresponsibility;

(5) Not supporting dependents;

(6) Alcohol incidents; and

(7) Not complying with civilian and military rules, regulations, and standards.

b. Do not confuse this entry with the many other reasons to provide supporting remarks when completing an employee review. This entry must either state an NJP, CM, civil conviction or low competency mark (Article 10.B.8.a.) occurred, or give specific examples of financial irresponsibility, non-support of dependents, alcohol incidents, nonconformance to civilian and military rules, regulations, and standards which discredited the Coast Guard.

c. In noncompliance with civilian and military rules, regulations and standards; a one-time, minor infraction (e.g., late to work) is insufficient to be classified as an adverse remarks entry. **Adverse entries dealing with minor infractions which could effect good conduct eligibility upon submission of a Regular EER should focus on patterns of unacceptable behavior vice a one-time minor infraction and should be addressed on a Regular EER vice submitting it on an Unscheduled EER.**

d. To clearly distinguish this type of remarks entry from all others, start the entry in the conduct competency field with:

This is an adverse supporting remarks entry for

e. All employee reviews submitted on enlisted personnel, E-6 and above, are required to include supporting remarks, documenting the individual's leadership potential, along with the commanding officer's advancement recommendation. They must clearly identify the member's current and future potential for positions of greater responsibility. The accuracy of these entries is essential to distinguish individuals requesting to compete for command cadre or special assignment positions.

10.B.2.b. Definitions

1. Enlisted Employee Review Management System (EERMS). The automated system which assists Commandant (**CG-1**) in monitoring EERS performance, providing system feedback, enforcing enlisted employee review discipline, and serving as the data base of official marks of each member.

2. Enlisted Employee Review (EER). The series of web pages contained in Direct Access used to report the performance of Coast Guard enlisted personnel. The

12.A.13.c. Lieutenants (Junior Grade)

Each permanent regular Coast Guard officer serving as a lieutenant (junior grade) who fails selection for promotion to lieutenant for the second time shall:

1. Be honorably discharged not later than 30 June of the promotion year in which the second failure of selection occurs, or
2. If he or she so requests, be honorably discharged at an earlier date without loss of benefits that would accrue if the member were discharged on the date specified in 1. above, or
3. If on the date specified for discharge in this Article, the member is eligible for retirement under any law, retire on that date (14 U.S.C. 282).

12.A.13.d. Lieutenants

1. Each permanent regular Coast Guard officer serving in the permanent grade of lieutenant who has failed selection for promotion to lieutenant commander for the second time shall:
   a. Be honorably discharged not later than 30 June of the promotion year in which the second failure of selection occurs, or
   b. If the member so requests, be honorably discharged at an earlier date without loss of benefits that would accrue if the member were discharged on that date under a. above, or
   c. If on the date specified for discharge in this article, the member is eligible for retirement under any law, retire on that date; or
   d. If on the date specified for discharge in a. above, the member has completed at least 18 years of active service, remain on active duty and retire on the last day of the month in which he or she completes 20 years of active service, unless earlier removed under another provision of law.
2. If Service needs require, the Commandant may direct a selection board convened under Article 14.A.10.a., to recommend for continuation on active duty for terms of between two and four years a designated number of permanent regular lieutenants who otherwise would be discharged or retired under this Article. When so directed, the board shall recommend for continuation on active duty the officers under consideration who it believes are best-qualified for continuation. With the Commandant's approval and despite subparagraph 1., each officer so recommended may continue on active duty for the recommended term. When he or she completes such term, unless selected for promotion or further continuation by a subsequent board, the officer shall be discharged honorably with severance or separation pay, as applicable, computed as shown in the U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series) or, if eligible for retirement under any law, retire.

3. If an officer who continues on active duty under subparagraph 2 is not selected for promotion by a subsequent board, he or she shall be retired on the last day of the month in which he or she completes 20 years of active service unless removed earlier from active duty (14 U.S.C. 283).

12.A.13.e. Regular Officers Serving Under Temporary Appointments

A regular Coast Guard temporary officer appointed under Article 1.A.3. who serves as lieutenant (junior grade) or lieutenant and fails selection for promotion to lieutenant or lieutenant commander, respectively, for the second time shall:

1. Be honorably discharged not later than 30 June of the promotion year in which the second failure of selection occurs, or

2. If the member so requests, be honorably discharged at an earlier date without loss of benefits that would accrue if the member were discharged on that date under 1. above, or

3. If on the date specified for discharge in this Article the member is eligible to retire under any law, retire under that law on that date.

4. Each officer subject to discharge or retirement under this Article may elect to revert to his or her permanent grade (14 U.S.C. 284).

12.A.13.f. Lieutenant Commanders and Commanders

1. **Lieutenant commanders or commanders who remain on active duty after failing selection to the next higher grade for the second time shall be mandatorily retired pursuant to Article 12.C.5., unless offered continuation as described in subparagraph 2. below.**

2. If Service needs dictate, the Commandant may direct a selection board convened under Article 14.A.10.a., to recommend for continuation on active duty a designated number of permanent Regular lieutenant commanders and commanders who would otherwise be retired under this Article. When so directed, the board shall recommend for continuation on active duty the officers under consideration who it believes are best qualified **to meet the needs of the Coast Guard**.

   a. **An officer who holds the grade of lieutenant commander of the Regular Coast Guard may be continued on active duty for any determined period of time that does not extend beyond 24 years of total active commissioned service unless promoted to the grade of commander of the Regular Coast Guard.**

   b. **An officer who holds the grade of commander of the Regular Coast Guard may be continued on active duty for any determined period of time that does not extend beyond 26 years of total active commissioned**

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 for cause. **Chief warrant officers are not separated pursuant to these provisions, but are separated under 10 U.S.C. 1166.** Article 12.A.21.

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 himself 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 three 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 himself 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. <u>Recorder's Responsibilities</u>.

(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 Recommendation.

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.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.

Figure 12.C.4.1. Suggested Retirement Planning Guidance

SEMINAR COORDINATOR GUIDANCE SHEET
As Seminar coordinator, District (p) or maintenance and logistics commands should follow these steps in planning their event. Obtain primary assistance from a Career Information Specialist, Command Master Chief (CMC), or other career counselor.
1. Request seminar participants from the major benefit programs listed as follows: a. Veterans Administration. b. Social Security Administration. c. **TRICARE**/Medicare d. Civil Service Commission. e. Coast Guard Retired Affairs Programs, Survivor Benefit Plan, Identification Cards (RAPIDS) (DEERS), Decedent Affairs, Retired Newsletter, Thrift Savings Plan. f. Transportation Officer. g. DoD and PHS Medical Facilities. h. Legal Assistance (ensure restrictions on civilian employment after retirement are a part of this presentation). i. Space Available Travel. j. Resume Preparation. k. State Employment Officials. l. Retired Pay. m. Retiree Organizations.
2. Prepare an agenda, arrange meeting and parking facilities, collect reservations, coordinate Coast Guard speakers, and provide retirement packages.
3. At least 30 days before the Seminar, distribute agenda or program seminar throughout the District/Headquarters unit area; a sample of a Seminar announcement follows.
4. Coordinate issuing orders to prospective retirees wishing to attend who are stationed outside reasonable commuting distance of the Seminar location.

PUBLICATION LIST FOR RETIREMENT COUNSELORS
Coast Guard Personnel Manual, COMDTINST Ml000.6 (series)
Coast Guard Retiree Newsletter, **PSC** (RAS)
"Federal Benefits for Veterans and Dependents," Government Printing Office. Telephone: (202) 512-1800
Physical Disability Evaluation System, COMDTINST M1850.2 (series)
Pre-Separation Guide, NAVPERS 15616
"Retired Military Almanac" (office copies only), P.O. Box 4144, Falls Church, VA 22044; Telephone: (703) 532-1631
"SBP Made Easy," 0503-LP-219-9400, Naval Publications/Forms Center (or call The Retired Officers Association (TROA), 201 North Washington Street, Alexandria, VA 22314. Telephone: (703) 549-2311)
Thrift Savings Plan (www.TSP.gov)
Your Guide in Retirement, **PSCINST** M1800.4
"Your Social Security" (FREE to military in quantity from the Social Security Administration)

12.C.5. Statutory Authority to Retire Commissioned Officers (Except Commissioned Warrant Officers)

12.C.5.a. Voluntary Retirements

1. 20-Year Retirement. Any Regular commissioned officer (except a commissioned warrant officer) who has completed 20 years' active service, at least 10 of which in commissioned service, may apply and, at the Secretary's discretion, retire from active service (14 U.S.C. 291).

2. 30-Year Retirement. Any Regular commissioned officer (except a commissioned warrant officer) who has completed 30 years' service may apply and, at the Commandant's discretion, retire from active service (14 U.S.C. 292).

12.C.5.b. Compulsory Retirement at Age 62

Any Regular commissioned officer, except a commissioned warrant officer, who reaches the age of 62 shall retire from active service (14 U.S.C. 293).

12.C.5.c. Involuntary Retirement of Flag Officers

1. Unless he or she retires under some other legal provision or remains on active duty under subparagraph 2 below, a rear admiral retires on 30 June of the promotion year in which he or she completes a total of 36 years of active commissioned service, including service creditable for retirement purposes under 14 U.S.C. 432 (14 U.S.C. 290).

2. With the Secretary's approval, the Commandant may annually retain on active duty from promotion year to promotion year any rear admiral who otherwise would retire under subparagraph 1 above. Unless he or she retires under some other provision of law, a rear admiral so retained retires on 30 June of the promotion year in which no action takes place to further retain him or her under this provision (14 U.S.C. 290).

3. 14 U.S.C. **46** contains authority for the Commandant to retire.

4. 14 U.S.C. 51 contains authority for officers serving in the grade of vice admiral to retire.

12.C.5.d. Retirement of Regular Captains

1. If he or she does not retire earlier, each regular Coast Guard captain who is not carried on an approved list of officers selected for promotion to rear admiral (lower half) retires on 30 June of the promotion year in which he or she or any captain junior to him or her on the Active Duty Promotion List (ADPL) who has not lost numbers or precedence completes 30 years of active commissioned Coast Guard service (14 U.S.C. 288(a)), **unless retained under Article 12.A.13.** An officer who advanced in precedence on the ADPL because he or she was promoted from below the zone is not subject to earlier involuntary

retirement under this Article than if he or she had not been selected from below the zone.

2. An officer retired under this paragraph must receive as retired pay at least 50 percent of the basic pay on which his or her retired pay was computed (14 U.S.C. 288(b)).

12.C.5.e. Retirement of Commanders and Lieutenant Commanders for Failure of Selection for Promotion

Each Regular Coast Guard officer serving as commander or lieutenant commander who fails selection for promotion to captain or commander, respectively, for the second time, **or if not selected for continuation on active duty, shall**:

1. If eligible for retirement under any law on 30 June of the promotion year in which the second failure of selection occurs, retire on that date; or

2. If ineligible for retirement on 30 June of the promotion year in which the second failure of selection occurs, remain on active duty and retire on the last day of the month in which he or she completes 20 years of active service, unless earlier removed under another provision of law (14 U.S.C. 285)**; or**

3. **If completing a continuation agreement and not selected for promotion or further continuation, then 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 but not later than age 62**.

12.C.6. Statutory Authority for Commissioned Warrant Officers' Retirement

12.C.6.a. 20-Year Retirement

The Commandant may retire a commissioned warrant officer who has at least 20 years of active service at his or her request.

12.C.6.b. Involuntary Retirement After 30 Years' Active Service

1. A permanent regular commissioned warrant officer who has at least 30 years of active service retires 60 days after he or she completes that service (10 U.S.C. 1305).

2. The Commandant may defer the retirement of any commissioned warrant officer for up to four months under subparagraph 1 above if, due to unavoidable circumstances, evaluation of his or her physical condition and determination of his or her entitlement to retirement or separation for physical disability require hospitalization or medical observation that cannot be completed before the date when he or she would be required to retire (10 U.S.C. 1305).

3. To satisfy a specific Service need, the Commandant also may defer retirement under subparagraph 1 above of a commissioned warrant officer with his or her

consent and if a board of officers so recommends for up to 60 days after the officer turns 62 years old (10 U.S.C. 1305). Chief warrant officers who want to continue on active duty beyond 30 years may apply to Commander (CGPC-opm-1) between nine and 12 months before the mandatory retirement date. Extensions may be granted for any period up to a maximum of four years for a single request. Subsequent extensions may be granted based on additional requests. Chief warrant officers so extended and selected for promotion are required to serve two years in the new grade. A chief warrant officer serving on an extension may apply for voluntary retirement when he or she meets all eligibility requirements listed in Article 12.C.9. Extension requests will be kept on file pending the identification of specific Service needs. Whenever a need arises, a board of officers screens eligible applicants and selects the best-qualified candidate. If an extension is not approved by six months before the mandatory retirement date, the request will be removed from the file and the member retires on the mandatory retirement date. A member may withdraw a request from consideration at any time. Submit extension requests in a letter format with the following information:

a. The reason to request the extension.

b. The officer's statement indicating he or she is willing to serve in any assignment or geographic area.

c. Desired length of extension.

d. A concise recommendation by the member's chain of command.

12.C.6.c. Compulsory Retirement at Age 62

1. Any permanent regular commissioned warrant officer who has at least 20 years of active service and is at least 62 years of age must retire on the first day of the month that occurs 60 days after his or her 62nd birthday (10 U.S.C. 1251 and 1263).

2. The Commandant may defer any commissioned warrant officer's retirement for up to four months under subparagraph 1 above if, due to unavoidable circumstances, evaluation of his or her physical condition and determination of his or her entitlement to retirement or separation for physical disability require hospitalization or medical observation that cannot be completed before his or her mandatory retirement date (10 U.S.C. 1263).

12.C.7. Retirement or Release to Inactive Duty of Reserve Program Administrators

12.C.7.a. Retention on Active Duty

1. A Reserve Program Administrator (RPA) who does not accept an active duty promotion shall be released to inactive duty on the last day of the month in which the promotion would have been effective unless he or she is eligible for and requests retirement on the first day of the following month.

2. While RPAs remain eligible for consideration and promotion under 14 U.S.C. 21, no RPA may accept a promotion to a higher grade than that to which he or she is selected by a board convened in accordance with 14 U.S.C. 276 and continue on extended active duty. If an RPA accepts a promotion resulting from a selection board convened under 14 U.S.C. 21, despite the provisions of 10 U.S.C. 1006(e), he or she shall be released to inactive duty on the first day of the month after the date he or she accepts the higher grade. If he or she declines a promotion resulting from a board convened under 14 U.S.C. 21 continue on active duty, he or she will not prejudice later acceptance. An appointment to the higher grade will be tendered after release to inactive duty if he or she is otherwise qualified.

12.C.7.b. Failure of Selection for Promotion or Continuation

1. Captains. RPA captains eligible for active duty retirement and not recommended for continuation on active duty by a board convened for that purpose shall be released to inactive duty on 30 June of the promotion year in which the board convened unless they otherwise request retirement. RPA captains ineligible for active duty retirement under any provision of law and not recommended for continuation by a board convened for that purpose remain on active duty for release to inactive duty or retirement, if they request, on the last day of the month in which they complete 20 years of active service, unless removed earlier under another provision of law.

2. Commanders and Lieutenant Commanders. RPAs serving as commanders or lieutenant commanders who fail selection to the next higher grade for the second time and:

   a. Have completed 20 years or more active service creditable for retirement shall be retired not later than 30 June of the promotion year in which the second failure occurs, or

   b. Ineligible for retirement on 30 June of the promotion year in which the second failure shall be released to inactive duty or retired, if they request, on the last day of the month in which they complete 20 years of active service, unless earlier removed under another provision of the law.

3. Lieutenants. RPAs serving as lieutenant who fail selection for promotion to lieutenant commander for the second time are:

   a. Honorably discharged or released to inactive duty not later than 30 June of the promotion year in which the second selection failure occurs, or

   b. Honorably discharged or released to inactive duty at an earlier date at their request without loss of benefits than if they had been discharged on the date specified under a. above, or

   c. If eligible for retirement under any law on the date specified for release or discharge in this section, retired on that date, or

d. If completing at least 18 years of service for retirement on the date specified for discharge or release in subparagraph 3.a. above, they shall be released to inactive duty, if they request, or be retained on active duty and retired on the last day of the month in which they complete 20 years of service.

4. Lieutenant (Junior Grade). RPAs serving as lieutenants (junior grade) who fail selection for promotion to lieutenant for the second time are:

   a. Honorably discharged or released to inactive duty not later than 30 June of the promotion year in which the second failure of selection occurs, or

   b. At their request, honorably discharged or released to inactive duty at an earlier date without loss of benefits than if they had been discharged on the date specified under a. above, or

   c. If eligible to retire under any law on the date specified for release or discharge in this section, they retire on that date at their request.

12.C.7.c. Time of Separation

If under this Article the separation (discharge, retirement or release to inactive duty) of any officer would be required less than six months after approval of the report of the board which considered but did not select him or her:

1. For promotion for the second time or continuation, the officer's separation 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, the officer's retirement shall be effected on the last day of the month in which the officer completes 20 years of active service, unless earlier removed under another provision of law.

12.C.7.d. Separation Pay Entitlement

An RPA lieutenant or lieutenant (junior grade) released from active duty under these provisions is entitled to separation pay under 10 U.S.C. 1174, provided he or she has served six or more continuous years of active service immediately before the release date. Periods of active duty that have breaks of 30 days or less are considered continuous service when determining eligibility for Separation Pay.

12.C.7.e. Completing 30 Years' Commissioned Service

RPAs serving as captain or below shall be released to inactive duty on the last day of the month in which they complete 30 years of commissioned service unless they request retirement effective on the first day of the following month. Unless earlier released under other provisions of law or regulations, RPAs ineligible to retire under 10 U.S.C. 6323 continue on extended active duty until the last day of the month in which they become eligible to retire. They shall then be released to inactive duty unless they request retirement on the first day of the next month.

12.C.7.f. Grade on Retirement

1. Unless entitled to a higher grade, an RPA who retires under 10 U.S.C. 6323 retires in the highest permanent or temporary grade in which he or she satisfactorily served on extended active duty, at the Secretary's determination. If the Secretary determines the officer did not serve satisfactorily in his or her highest temporary grade, he or she retires in the next lower grade in which he or she served, but not lower than his or her permanent grade.

2. An RPA who is on an approved list of officers selected for promotion to the next higher grade who retires for physical disability under 10 U.S.C. 61 before being promoted, retires in the grade to which he or she was selected for promotion.

12.C.7.g. Mandatory Retirement of Running Mates

RPA captains shall be released to inactive duty unless they are eligible for and request retirement on or before the date (30 June) their running mates retire on completing 30 years' commissioned service under 14 U.S.C. 288 provisions. Unless earlier released under other provisions of law or regulations, an RPA ineligible to retire under 10 U.S.C. 6323 continues on extended active duty until the last day of the month in which he or she becomes eligible to retire. The officer shall then be released to inactive duty or retired at his or her request.

12.C.7.h. Separation for Cause

An RPA may be separated for cause in the same manner as a regular Coast Guard officer under Article 12.A.15. Reserve membership on boards convened for this purpose shall comply with 33 CFR 8.1110.

12.C.8. Permanent Commissioned Teaching Staff Members' Retirement

12.C.8.a. Voluntary Retirement

1. 20-Year Retirement. Any professor, associate professor, assistant professor, or instructor in the Coast Guard who has completed 20 years' active service, at least 10 years of which in active commissioned service, may apply and, at the Secretary's discretion, retire from active service with the retired pay of the grade he or she holds on retirement (14 U.S.C. 190 and 14 U.S.C. 291).

2. 30-Year Retirement. Any Coast Guard professor, associate professor, assistant professor, or instructor who has completed 30 years' service may apply and, at the Commandant's discretion, retire from active service with the retired pay of the grade he or she holds on retirement (14 U.S.C. 190 and 14 U.S.C. 292).

12.C.8.b. Involuntary Retirement

Unless they retire earlier, Permanent Commissioned Teaching Staff (PCTS) members shall retire on 30 June of the promotion year in which they complete 30 years' active commissioned service.

1. If the member requests and the Superintendent favorably recommends the member's retention as in the Academy's best interests, CGPC-opm may approve a member's continued service on active duty for additional one- or two-year periods up to a total of 35 years of commissioned service. A member so retained, unless retired under some other provision, retires when that extension expires unless action is taken to further retain the member under this paragraph. The Superintendent should make his or her recommendation under this paragraph at least one year before the member's scheduled retirement date.

2. If not earlier retired, PCTS members retire on 30 June of the promotion year in which they complete 35 years' active commissioned service. If the Superintendent favorably recommends a member's retention as necessary to fulfill a compelling Service need, Commander (CGPC-opm) may delay a member's involuntary retirement under this paragraph for up to two years. Unless they retire under some other provision, these members retire when such extension expires unless action is taken to further retain them under this paragraph. The Superintendent should make his or her recommendation under this paragraph at least one year before the member's scheduled retirement date.

12.C.8.c. Compulsory Retirement at Age 64

Any professor, associate professor, assistant professor, or instructor in the Coast Guard who reaches the age of 64 shall retire from active service with the retired pay of the grade he or she held on retirement (14 U.S.C. 190).

12.C.8.d. Retaining Captains

The provisions of 14 U.S.C. 288 on captains' mandatory retirement and 14 U.S.C. 289 on captain continuation boards **does** not apply to PCTS members.

12.C.9. Procedures for Officers' Retirement

12.C.9.a. Request for Voluntary Retirement

Commander (CGPC-opm) has final approval or disapproval authority of voluntary retirement requests. In approving a request for voluntary retirement, Commander (CGPC-opm) may specify an effective date other than that requested if a change is necessary in the Service's best interests to provide time for orderly relief or, in some cases, complete the current or an ordered tour of duty. Commander (CGPC-opm) will consider requests based on the Service's overall needs and the merits of an individual case using the following guidelines:

1. An officer should meet the following criteria when requesting voluntary retirement:

   a. Must complete two years time in grade by the date of retirement. (A scheduled promotion will not be effected if an officer has an approved voluntary retirement on file at the time their name would otherwise appear on the respective Officer Promotion Authorization Listing (OPAL) unless the **officer's request to withdraw the retirement is approved.)**

b. Will complete at least one year at his or her duty station INCONUS, or if assigned outside the contiguous 48 states at his or her own request will complete a two-year tour of duty (if the member has been assigned to more than one unit in the same OCONUS area, he or she must have at least 2 years in that area and one year at their current unit).

c. Submit a request between one year and six months before the desired retirement date using the format in paragraph 9 below. Officers desiring a retirement date sooner than 6 months out, may so request; however, the request must be accompanied by a command endorsement stating that the command can, and is willing to, support a vacant billet. Such requests will be approved based upon Service needs.

2. An officer in receipt of PCS orders who will complete at least two years in grade by the specified retirement date in this paragraph who wishes to retire in lieu of executing those orders must request retirement within 15 days of either the order issue date or the date time group of the general message announcing assignment panel results, whichever applies. Commander (CGPC-opm) normally approves these requests effective the first day of the month after the detachment date of the PCS orders or by 01 August after an assignment panel results general message. An officer requesting retirement must comply with Article 12.C.3. as soon as practical to ensure completing the physical examination before retirement.

3. All other requests for voluntary retirement should fully describe the circumstances which justify special consideration. Commander (CGPC-opm) will consider these requests on their merits and weigh them against the needs of the Service.

4. If the officer wants an acknowledgment of receipt, he or she must indicate so in the letter and provide a valid e-mail address if the **officer does not** have one in the Coast Guard global address list.

5. Officers approaching statutory age are not required to apply for retirement.

6. The request must include the zip code of the intended home of selection for cost estimating purposes only; it is not binding and does not affect the member’s entitlement to choose a home of selection up to one year after retirement.

7. Requests for voluntary retirement from captains shall be submitted to Commander (CGPC-opm-1) thru their commanding officer (actual commanding officer or the appropriate officer with jurisdiction (e.g. Area Chief of Operations for 378 CO's, MLC Commander for ISC CO's, etc.) and cognizant flag officer. For captains assigned to Coast Guard Headquarters, assistant commandants or directors should endorse requests for separation as appropriate. (NOTE: For captains assigned to Coast Guard Headquarters, requests need not be routed through Headquarters Support Command.)

8. Requests for voluntary retirement from commanders and below shall be submitted to Commander (CGPC-opm-1) via their commanding officer (actual commanding officer or the appropriate officer with jurisdiction. For officers assigned to Coast Guard Headquarters, assistant commandants, directors, or division chiefs should endorse requests for separation as appropriate. (NOTE: For commanders and below, assigned to Coast Guard Headquarters, requests need not be routed through Headquarters Support Command.)

9. Use the following example in a standard Coast Guard memo when requesting voluntary retirement:

> From: [Member]
>
> To: Commander, Coast Guard Personnel Command (opm-1)
> Thru: [Commanding Officer (and cognizant flag officer for Captains)]
>
> Subj: REQUEST FOR VOLUNTARY RETIREMENT
>
> Ref: (a) Personnel Manual, COMDTINST M1000.6A, Article 12.C.9.a.
>
> 1. I request retirement on the first day of [month/year], or as soon thereafter as possible.
>
> 2. I understand if this request is approved, I will be ineligible for promotion if already selected for the next higher grade. I further understand that a copy of my voluntary retirement orders will be included in my permanent record and will be visible to any future selection board.
>
> 3. For cost estimating purposes only, I elect [zip code] as my Home of Selection (HOS) for retirement. I understand I am not bound to this election and I am entitled to elect a retirement HOS within one year from my first day of retirement per U5310, JFTR.
>
> 4. I understand if I request to cancel this retirement, Commander (CGPC-opm) will consider cancellation solely on the needs of the Service.

10. The immediate commanding officer should include in the endorsement:

    a. A statement recommending approval or disapproval. If disapproval or conditional approval, the full reasons thereof.

    b. A statement, as needed, concerning a replacement or the impact of gapping the job position.

    c. Any other useful information to assist the Officer Personnel Management staff in making a final decision.

    NOTE: (1) Where an unconditional endorsement of "forwarded, recommending approval" is determined, the CO may merely endorse the via line with their signature and date; (2) Additional "**thru**" addressees may be included if considered appropriate by the CO; (3) Facsimile copies of signed requests with signed endorsement should be transmitted only if requested by Commander (CGPC-opm).

11. Officers faced with mandatory retirement, for any reason, need not request retirement. However, officers may request voluntary retirement to occur on the scheduled mandatory retirement date if they desire their retirement be classified as "voluntary" vice "involuntary."

12. Requests from flag officers shall be submitted to Commander (CGPC-opm-1) **thru** their Coast Guard superior (e.g. Area Commander or Assistant Commandant, etc.) and, **thru** the Vice Commandant.

12.C.9.b. Scheduling Retirement Orders

1. Commander (CGPC-opm) issues retirement orders under the procedures listed in Article 12.C.1. and mails them via the member's command shortly after approval of a request, but no later than 120 days prior to retirement. If orders processing must be delayed (e.g. awaiting funding authority for requests approved into the next Fiscal Year) notification of Commander (CGPC-opm) approval will be provided prior to issuing orders.

2. Commander (CGPC-opm) will approve retirement dates as close to the requested date as possible to meet Service needs. (See Article 12.C.9.a.)

3. When sufficient appropriated funds are not available to permit approving all requests received, Commander (CGPC-opm) will give priority to officers who have the most active service.

4. Commander (CGPC-opm-1) will issue retirement orders to officers approaching statutory retirement age approximately six months before the first of the month after their 62nd birthday. If the officer has not received such notice 120 days before the statutory date, he or she should inform Commander (CGPC-opm-1) immediately.

5. Commander (CGPC-opm-1) will issue retirement orders to officers retiring for failure of selection for promotion approximately six months before the scheduled retirement date. If the officer has not received orders 120 days before that date, he or she should inform Commander (CGPC-opm-1) immediately.

6. Commander (CGPC-opm-1) will issue retirement orders for Commissioned Warrant Officers approaching 30 years active service approximately 6 months prior to mandatory retirement. For those CWO's selected for active service beyond 30 years per Article 12.C.6.b.3, Commander (CGPC-opm-1) will defer issuing retirement orders until approximately 6 months prior to their authorized termination date. If the officer has not received orders 120 days before their retirement date, he or she should inform Commander (CGPC-opm-1) immediately.

12.C.9.c. Canceling or Delaying Retirement Orders

1. The decision to submit a retirement letter is a serious one because the projected separation triggers transfer and promotion actions that, if reversed, could cause hardship to other officers. Therefore, Commander (CGPC-opm) may approve a

request to cancel or delay a scheduled retirement based on Service needs or a member's hardship situation similar or equal to those listed in Article 12.D.3. The Service does not consider a change in civilian employment plans a hardship.

2. In canceling a scheduled retirement, the officer must agree to remain on active duty for two years after the date the request is approved. The cancellation request should indicate this agreement.

3. Whenever possible, submit a request to cancel or delay a scheduled retirement at least three months before the retirement date through the chain of command; the request should contain the reasons for it.

4. If during the retirement processing period, a member is diagnosed with serious disease or suffers from serious injuries neither ratable by the Physical Disability Evaluation System nor disqualifying for separation, he or she may request to delay a non-mandatory retirement for a reasonable amount of time to address the problem. Comply with Physical Disability Evaluation System, COMDTINST M1850.2 (series), Paragraph 2.C.2.b. Submit the request to Commander (CGPC-opm) and support it by attaching all relevant medical documents. The command should endorse the request. A member should schedule a physical examination at least six months before the retirement date to allow enough time to treat such remediable medical problems. If a member adheres to this schedule, physicians can properly treat most non-disqualifying remediable medical problems and it will not be necessary to delay the scheduled retirement date. Commander (CGPC-opm) will not consider delaying retirement for a member who obviously neglected to obtain timely medical treatment.

12.C.10. Statutory Authority to Retire Enlisted Members

12.C.10.a. Voluntary Retirement

1. 20-Year Retirement. On application and at the Commandant's discretion, any enlisted member who has completed 20 years of service may retire from active service (14 U.S.C. 355).

2. 30-Year Retirement. On application and at the Commandant's discretion, any enlisted member who has completed 30 years of service may retire from active service (14 U.S.C. 354).

12.C.10.b. Compulsory Retirement

Any enlisted member who reaches the age of 62 shall retire from active service (14 U.S.C. 353).

12.C.10.c. Involuntary Retirement

1. Authority. 14 U.S.C. 357 allows the Commandant to review the records of enlisted members who have 20 or more years of active military service to consider retiring these members involuntarily.

2. Convening the Board. A Coast Guard Enlisted Personnel Board shall convene when and where the Commander (CGPC-epm) directs to recommend for retirement enlisted members who have 20 or more years of active service and whom the Board determines, at its discretion, should retire. A Board convened under this section shall consist of at least three commissioned officers, at least one of whom is a commander or higher, and two enlisted members, of equal or higher pay grade as that of the member being considered. No ensuing annual Board may include as a member any person who was a member of the preceding annual Board.

3. Submitting Recommendations. Commanding officers shall recommend to Commander (CGPC-epm-1) any enlisted member under their command who has completed 20 years of active service and should be considered for involuntary retirement. District units' commanding officers shall send the recommendations through the district commanders. Commanding officers should recommend a member if his or her:

   a. Conduct is marginal.

   b. Financial irresponsibility will discredit the Coast Guard and its personnel through voluminous correspondence with creditors.

   c. Leadership, performance of duty, physical stamina, etc., are now below the standards expected or required for their rate. Specific reasons and supporting documents, including a copy of **enlisted employee review** showing average marks, must be included for each individual.

4. Procedure. Each member under the Board's review shall be:

   a. Notified in writing of the reasons he or she is being considered for involuntary retirement.

   b. Provided counsel certified under 10 U.S.C. 827(b) to help prepare a rebuttal and represent him or her before the Board.

   c. Allowed 60 days from the date on which counsel is provided to submit any items in rebuttal.

   d. Allowed full access to and furnished with copies of records under consideration for involuntary retirement before submitting the rebuttal.

   e. Allowed to appear before the Board and present witnesses or documents pertinent to the review.

5. Acting on Board Recommendations. After the Board completes its determination, each enlisted member being considered for involuntary retirement shall be:

   a. Notified by certified mail of the reasons he or she was considered for involuntary retirement.

   b. Provided counsel certified under 10 U.S.C. 827(b) to help prepare a rebuttal.

c. Allowed 60 days from the date counsel is provided to submit any matters in rebuttal.

d. Allowed full access to and furnished with copies of records relevant to consideration for involuntary retirement before the member submits the rebuttal.

6. Commandant Approval. If the Commandant approves the Board's recommendation, the member shall be notified of the Commandant's decision and retired within 90 days of the notification.

12.C.10.d. Reduction in Force Separations

When the Secretary orders a reduction in force, Commander (CGPC-epm) may separate enlisted members involuntarily from service without convening the Board described in Article 12.C.10.c.

12.C.11. Procedures to Retire Enlisted Members

12.C.11.a. Requests for Voluntary Retirements

1. An enlisted member's non-disability retirement occurs at the discretion of Commander (CGPC-epm). Therefore, an enlisted member's request will be considered on the basis of overall Service needs and the merits of each individual case. As a general rule, the provisions listed here govern; however, an enlisted member does not automatically accrue a vested right to retire when he or she chooses independently of Service needs merely by completing 20 years of active service.

2. An enlisted member may submit a request for voluntary 20-year retirement to Commander (CGPC-epm-1) if the member:

   a. Has completed 18 years of active service, and

   b. Requests an effective date of retirement which provides:

      (1) Completing at least one year of duty at current duty station if assigned INCONUS.

      (2) Completing at least two years at current duty station if assigned OCONUS on a with-dependents tour. (if the member has been assigned to more than one unit in the same OCONUS area, he or she must have at least 2 years in that area and one year at their current unit).

      (3) Completing the prescribed tour length or at least two years, whichever is less, if assigned OCONUS on a without-dependents tour.

      (4) Completing the two-year obligated service (OBLISERV) requirement incurred for advancement to pay grade E-7, E-8, or E-9. See Articles 1.G.15.a.2., 4.C.3., 5.C.25.e. and 12.B.12.b.2.

3. Retire in Lieu of Executing Orders (RILO)

   a. If a member receives PCS orders during an assignment year, is otherwise eligible to retire by his/her departure date, and wishes to retire in lieu of executing orders (RILO), he/she must so advise Commander (CGPC-epm) by message within 15 days of receiving the PCS orders in the Direct Access Airport Terminal, and simultaneously submit a request to retire with an effective date of retirement on or before 1 August of that assignment year. Commander (CGPC-epm) will consider such requests and assign an effective date of retirement based on overall Service needs; however, in certain instances, the member may be required to comply with orders.

   b. Commanding officers may request that a member's effective date of retirement be delayed based on needs of the Service (i.e., on-site relief needed for a critical billet). Commander (CGPC-epm) will consider such requests based on the overall needs of the Service.

   c. Commander (CGPC-epm) will not cancel a retirement so scheduled except to allow disability processing.

4. If it appears a request for retirement or cancellation of transfer orders is warranted even though it does not meet Article 12.C.11.a.2. requirements, the member should send the request and full supporting information pertaining to it to Commander (CGPC-epm) for consideration. Such a request will be approved only in those rare instances when in the judgment of Commander (CGPC-epm), departing from subparagraph 2.'s normal rules is justified. If the request is disapproved, Commander (CGPC-epm) will indicate when the member may resubmit a retirement request. Commander (CGPC-epm) will cancel a request approved under this paragraph only for the reasons listed in Article 12.C.11.c.

5. Submit retirement requests to Commander (CGPC-epm-1) not more than two years or less than six months before the desired retirement date. Members desiring a retirement date sooner than 6 months out, may so request; however, the request must be accompanied by a command endorsement stating that the command can, and is willing to, support a vacant billet. Such requests will be approved based upon Service needs. They will be acknowledged by either approval or disapproval. Include the following statements in all requests:

From: Member
To: Commander, Coast Guard Personnel Command (CGPC-epm-1)
Thru: Commanding Officer, [Unit]

Subj: RETIREMENT REQUEST

Ref: (a) Personnel Manual, COMDTINST M1000.6 (series), Article 12.C.11.

1. I request retirement on the first day of [month, year], or as soon thereafter as possible.

2. I understand if this request is approved, I will no longer be eligible for advancement and Servicewide competition, or my name will be removed from present eligibility lists, as appropriate.

3. I understand if I request to cancel this retirement, Commander (CGPC-epm) will consider this request based solely on Service needs. If such cancellation is approved, it will not entitle me to reinstatement in the current Servicewide competition or on the existing eligibility list. Further advancement would require recompetition.

4. I further understand that if I am being processed under the Physical Disability Evaluation System, my request for retirement could be terminated.

5. The zip code of my intended home of selection is _____.

_____
Member's Signature

6. The request must include the zip code of the intended home of selection for cost estimating purposes only; it is not binding, nor does it affect the member's right to choose a home of selection up to one year after the retirement date.

7. Area, district, maintenance and logistics, and unit commanding officers will include the following comments in endorsements to all retirement requests:

   a. Specific approval or disapproval of the basic request; if disapproval, the full reason for disapproval.

   b. Whether the member meets the requirements listed in Article 12.C.11.a.2.

8. Enlisted members who have completed 29.5 or more years of active duty should submit requests for 30-year retirement to Commander (CGPC-epm-1).

9. Enlisted members approaching statutory age are not required to apply for retirement.

12.C.11.b. Scheduling Retirement Orders

1. Final approval of a retirement rests with Commander (CGPC-epm-1) who may specify an effective date later than that requested if, in the best interest of the Service, a delay is necessary to provide orderly relief or, in some cases, completion of the current or ordered tour of duty.

2. If sufficient appropriated funds are not available to permit approving all requests received, Commander (CGPC-epm) will select retirees in order of

highest total service computed to the retirement date for which selections are being made.

3. Commander (CGPC-epm-1) will issue retirement orders for enlisted members approaching statutory age approximately six months before the effective retirement date.

12.C.11.c. Canceling or Delaying Retirement Orders

1. The decision to submit a retirement memorandum is a serious one because the projected separation triggers transfer and advancement actions that, if reversed, cause hardship to other members. Therefore, Commander (CGPC-epm-1) normally will not honor a request to cancel or delay an already approved retirement date unless a specific Service need exists and only under these conditions:

   a. A Service need exists.

   b. A member has a hardship situation similar or equivalent to those listed in Article 12.D.3. The Service does not consider a change in civilian employment plans a hardship.

   c. The retirement physical examination finds the member "not fit for duty" and he or she requests in writing to cancel his or her Service retirement orders and processing for a physical disability retirement; or

   d. If during the retirement processing period, the member is diagnosed with serious diseases or suffering from serious injuries not ratable by the Physical Disability Evaluation System nor disqualifying for separation, he or she may request to delay a non-mandatory retirement for a reasonable amount of time to address the problem. Comply with Physical Disability Evaluation System, COMDTINST M1850.2 (series), Paragraph 2.C.2.b. Submit the request to Commander (CGPC-epm); support it by attaching all relevant medical documents. The member's command, MLC (k), and Commandant (**CG-112**) must endorse the request. A member should schedule a physical examination at least six months before retirement to allow enough time to treat remediable medical problems. If the member does so, physicians can properly treat most non-disqualifying remediable medical problems and it will not be necessary to delay the scheduled retirement date. Commander (CGPC-epm) will not consider delaying retirement for a member who obviously neglected to obtain prompt medical treatment.

2. In canceling a scheduled retirement, the member must agree to remain on active duty for two years from the date the request is approved and indicate this agreement in the basic cancellation request. If a member's enlistment expires within two years of the request date, he or she must extend his or her enlistment

for obligated service within 30 days after Commander (CGPC-epm-1) approves the cancellation.

3. Submit a request to cancel or delay a scheduled retirement at least three months before the retirement date if at all possible. State the reasons for the request and submit it through the chain of command.

12.C.12. through 12.C.14. VACANT

12.C.15. Grade or Rate in Which Retired

12.C.15.a. General Authority

Every commissioned officer, chief warrant officer, or enlisted member who retires under any provision of 14 U.S.C. retires with the permanent grade or rate he or she held at the time of retirement unless entitled to retire with a higher grade or rate under any provision of this title or any other law (14 U.S.C. 421).

12.C.15.b. Commissioned Officers Other than Commissioned Warrant Officers

1. Any commissioned officer, except a chief warrant officer, who retires under any provision of 14 U.S.C. retires from active service with the highest grade he or she held (if different from their permanent grade) for at least six months (this does not alter the two-year time in grade requirement of Article 12.C.9.a.1 for requesting voluntary retirement) while on active duty in which, as the Commandant determines, the member performed duty satisfactorily, with retired pay of the grade at which retired (14 U.S.C. 334 (a)).

2. If any commissioned officer, except a commissioned warrant officer, is on an approved list of officers selected for promotion to the next higher grade and retires for physical disability under Chapter 17 provisions before being promoted, he or she retires in the grade to which selected for promotion (14 U.S.C. 294).

12.C.15.c. Chief Warrant Officers

1. Any chief warrant officer retiring under any provision of 10 U.S.C. 580, 1263, 1293, or 1305 retires from active service with the highest commissioned grade above chief warrant officer, W-4, he or she held for at least six months (this does not alter the two-year time in grade requirement of Article 12.C.9.a.1 for requesting voluntary retirement) on active duty in which, as the Commandant determines, he or she performed duty satisfactorily, with retired pay of the grade at which retired. However, if the highest grade's rate of pay is less than that of the warrant grade with which the officer would otherwise retire under Article 12.C.15.g.2. below, the retired pay is based on the higher rate of pay (14 U.S.C. 334(b)).

2. In cases where a member has been reduced in grade by a Special Court-Martial (SPCM) or General Court-Martial (GCM), the highest grade satisfactorily held shall

be no higher than the grade to which the member was reduced after the court-martial conviction becomes final, unless the member subsequently advances or is again reduced. Where a member subsequently advances or is again reduced following a reduction by a SPCM or GCM, the highest grade satisfactorily held shall be no higher than the pay grade to which the member advanced or was reduced to following the court-martial.

12.C.15.d. Retired Officer Promoted After Recall to Active Duty

If a Regular officer on the retired list recalled to active duty is promoted during that duty to a higher grade under an appointment (Article 5.A.8.) and satisfactorily performs duty under that appointment, on relief from active duty he or she shall be promoted on the retired list to the highest grade held while on such active duty (14 U.S.C. 333).

12.C.15.e. Enlisted Members

1. Any enlisted member who retires under any provision of 14 U.S.C. retires from active service with the highest grade or rate he or she held while on active duty in which, as Commander (CGPC-epm-1) or the Commandant, as appropriate, determines he or she performed duty satisfactorily, but not lower than his or her permanent grade or rate with retired pay of the grade or rate at which retired (14 U.S.C. 362).
2. In cases where a member has been reduced in grade by a **Special Court-Martial (SPCM) or General Court-Martial (GCM)**, the highest grade satisfactorily held shall be no higher than the grade to which the member **was** reduced **after the court-martial conviction becomes final**, unless the member subsequently advances or is again reduced. Where a member subsequently advances or is again reduced following a reduction by a **SPCM or GCM**, the highest grade satisfactorily held shall be no higher than the pay grade to which the member advanced or was reduced to following the court-martial.

12.C.15.f. Grade on Retiring for Physical Disability

Unless entitled to a higher grade under some other provision of law, any Coast Guard member who retires for physical disability or is placed on the temporary disability retired list (TDRL) under 10 U.S.C. 61 is entitled to the grade or rate equal to the highest of:

1. The grade or rate in which the member served on the date his or her name was placed on the TDRL or, if his or her name was not carried on that list, on the date when the member retires.
2. The highest grade or rate in which the member served satisfactorily, as the Commandant determines.
3. The permanent regular or Reserve grade or rate to which the member would have been promoted had it not been for the physical disability for which he or she retired and which was found to exist as a result of the member's physical examination.

4. The temporary grade to which the member would have been promoted had it not been for the physical disability for which he or she retired, if eligibility for that promotion was based on cumulative years of service or years of service in grade and the disability was discovered as a result of his or her physical examination for promotion (10 U.S.C. 1372).

12.C.15.g. Procedure to Certify Highest Grade or Rate on Retirement

1. Commander (CGPC-epm) or (CGPC-opm) will administratively review the record of each individual scheduled to retire to determine the highest grade or rate in which his or her Coast Guard service is satisfactory.

2. In the absence of a reduction in grade by a Special Court-Martial or General Court-Martial, service will be considered satisfactory and the member will be certified to the highest grade if he or she served on active duty for at least six months in a commissioned officer grade or 31 days in a chief warrant officer or enlisted grade and his or her official records indicate overall satisfactory performance for the entire period served in the higher grade.

3. When an officer reverts from a higher grade due to approval of a board which recommended such reversion, his or her service in the higher grade will not be considered satisfactory unless he or she was later promoted again to the higher grade and meets the requirements of Article 12.C.15.g.2. above.

4. If the administrative review described in Article 12.C.15.g.1. does not result in a determination of satisfactory service, the determination will be referred to a special board of officers who will review the member's official records and make its recommendation to the Commandant. The board acts in an advisory capacity and its recommendation shall be considered as such. The Commandant makes the final determination of satisfactory service.

12.C.16. Computing Retired Pay

Commanding officers should encourage members applying for retirement to become familiar with the following helpful information.

12.C.16.a. Electing Retirement for Service

1. For Members Who First Became a Member of a Uniformed Service on or Before 7 September 1980: If a member retires for service, determine his or her pay by multiplying two and one-half percent (2.5%) times the number of years and full months of active service to get a "multiplier;" multiply that by the member's basic pay on the retirement date (for chief warrant officers, on the day before retirement) to derive gross monthly retired pay. See Figure 12.C.16.1. Members who had previous drilling Reserve service are entitled to an additional day of active duty for each Reserve point earned. An enlisted member may be eligible for 10 percent additional pay for extraordinary heroism or good conduct. See Article 12.C.16.d. After retirement, the

individual may obtain a disability rating from the Department of Veterans Affairs (VA) and receive disability compensation from that agency. If so, the member must waive an amount of the Coast Guard retired pay equal to the disability compensation.

2. For Members Who First Became a Member of a Uniformed Service on or After 8 September 1980 and before 1 August 1986 and Members Who First Became a Member of a Uniformed Service After 1 August 1986 Who Elected NOT to Receive the Career Status Bonus: If a member elects to retire for service, determine his or her pay by multiplying two and one-half percent (2.5%) times the number of years and full months of active service to get a "multiplier;" multiply that by his or her high 36-months' average of basic pay, whether or not consecutive, to derive gross monthly retired pay. Figure 12.C.16.1. Members who had previous drilling Reserve service are entitled to an additional day of active duty for each Reserve point earned. After retirement, the individual may obtain a disability rating from the VA and receive disability compensation from that agency. If so, the member must waive an amount of the Coast Guard retired pay equal to the disability compensation.

3. For Members Who First Became a Member of a Uniformed Service on or After 1 August 1986 and Who Did Elect to Receive the Career Status Bonus: If a member elects to retire for service, determine pay by multiplying two percent (2%) times the number of years of active service (up to 20 years) and three and one-half percent (3.5%) for each year and full month of active service after 20 years; multiply that times the high 36-months' average of basic pay, whether or not consecutive, to derive gross monthly retired pay. See Figure 12.C.16.2. Members who had previous drilling Reserve service are entitled to an additional day of active duty for each Reserve point earned. After retirement, the individual may obtain a disability rating from the VA and receive disability compensation from that agency. If so, the member must waive an amount of the Coast Guard retired pay equal to the disability compensation.

4. Members who retire for service who have served satisfactorily in a higher permanent or temporary grade or rate, as Commander (CGPC-opm-1), (CGPC-epm-1), or the Commandant, as appropriate, determines, compute their retired pay on that grade’s or rate’s basic pay. Article 12.C.15.

5. Determining which retired pay formula described in 1., 2., and 3. above applies depends on the member’s “Date of Initial Entry into Military Service” (DIEMS). A member’s DIEMS is the earliest date they joined a Uniformed Service either through the Delayed Entry Program, a service academy, their enlistment, induction or appointment. Service Academy cadets and persons in the Delayed Entry Program are considered "members of the Uniformed Service" while they serve in such status. Neither Delayed Entry nor Service Academy time are creditable for computing any member's retired pay multiplier, except that Service Academy time is creditable for enlisted personnel. Service time while attending a Service Academy may not be counted in computing, for any purpose, the length of service of an officer.

12.C.16.b. Physical Disability Retirement

A member with at least eight years' service who receives a physical disability retirement may receive retired pay based on monthly basic pay (entered service on or before 7 September 1980) or high 36-month average (entered service on or after 8 September 1980) at retirement based on the following formulas:

1. Multiply by the Percentage of Disability. The retired pay of a member placed on the temporary disability retired list is at least 50 percent of the pay on which compensation is made, or

2. Multiply Number of Years by two and one-half percent (2.5%) and full months of service by one-twelfth of 2.5 percent to obtain the "multiplier;" multiply that by the monthly basic pay or high 36-months' average to derive gross monthly retired pay. An enlisted member may qualify for 10 percent additional pay for extraordinary heroism. An enlisted member with 20 years' or more service may qualify for 10 percent additional pay for good conduct. Article 12.C.16.d.

3. For a Member Who First Joined a Uniformed Service on or Before 24 September 1975: That part of the retired pay of a member retired for physical disability based on the percentage of disability is not considered as income for Federal Income Tax.

4. For a Member Who First Joined a Uniformed Service on or After 25 September 1975: That part of the retired pay of a member retired for physical disability based on the percentage of disability is considered as income for Federal Income Tax unless caused by a combat-related injury, defined as personal injury or sickness incurred in any of the following circumstances:

   a. As a direct result of armed conflict.

   b. While engaged in extra hazardous service.

   c. Under conditions simulating war.

   d. Caused by an instrument of war.

12.C.16.c. Submitting Election

If a physical disability retirement is directed, Commanding Officer, **Personnel Service Center (PSC)** sends the necessary forms to use in electing the method on which to compute retired pay.

12.C.16.d. Extra Retired Pay for Enlisted Personnel

1. Heroism. Any Regular enlisted member voluntarily or involuntarily retired for 20 years' service who was cited for extraordinary heroism in the line of duty, determined by the Secretary's final, conclusive determination, is entitled to have his or her retired pay increased by an amount equal to 10 percent of the active duty pay and permanent additions thereto of the grade or rate at which retired (14 U.S.C. 357).

2. Good Conduct. Any Regular enlisted member serving in the Coast Guard on or before 6 September 1963 who retires for 20 years' service and whose average Service marks in conduct are at least 97.5 percent of maximum (i.e., 3.9) is entitled to have retired pay increased by an amount equal to 10 percent of the active duty pay and permanent additions thereto of the grade or rate at which retired. After 30 June 1983, the commanding officer will assign an eligible member a supplemental conduct mark on the 4.0 scale under Article 10.B.2.c. in addition to the conduct mark assigned using the enlisted marking system implemented 1 July 1983. An enlisted member retired for physical disability on or after 10 August 1956 who has completed 20 years' active service and elects to use the length-of-service formula to compute retired pay if otherwise qualified is also entitled to this 10 percent additional pay for good conduct (14 U.S.C. 357).

3. **Enlisted members may have their retired pay increased for either heroism or good conduct but not both. Total retired pay multiplier cannot exceed 75 percent.**

12.C.16.e. Maximum Retired Pay

The maximum retired pay of any member is 75 percent of the basic pay of the grade or rate in which placed on the retired list.

Multipliers for Members Who First Became a Member of a Uniformed Service on or Before 31 July 1986 *or for Members Who First Became a Member of a Uniformed Service after 31 July 1986, but did not elect the 15 Year Career Status Bonus (REDUX) Plan.*

(Effective Table Date: 1 October 1983)

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
20	0	50	23	0	57.50	26	0	65	29	0	72.50
	1	50.20		1	57.70		1	65.20		1	72.70
	2	50.43		2	57.93		2	65.43		2	72.93
	3	50.63		3	58.13		3	65.63		3	73.13
	4	50.83		4	58.33		4	65.83		4	73.33
	5	51.05		5	58.55		5	66.05		5	73.55
	6	51.25		6	58.75		6	66.25		6	73.75
	7	51.45		7	58.95		7	66.45		7	73.95
	8	51.68		8	59.18		8	66.68		8	74.18
	9	51.88		9	59.38		9	66.88		9	74.38
	10	52.08		10	59.58		10	67.08		10	74.58
	11	52.30		11	59.80		11	67.30		11	74.80

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
21	0	52.50	24	0	60	27	0	67.50	30	0	75
	1	52.70		1	60.20		1	67.70			
	2	52.93		2	60.43		2	67.93			
	3	53.13		3	60.63		3	68.13			
	4	53.33		4	60.83		4	68.33			
	5	53.55		5	61.05		5	68.55			
	6	53.75		6	61.25		6	68.75			
	7	53.95		7	61.45		7	68.95			
	8	54.18		8	61.68		8	69.18			
	9	54.38		9	61.88		9	69.38			
	10	54.58		10	62.08		10	69.58			
	11	54.80		11	62.30		11	69.80			

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
22	0	55	25	0	62.50	28	0	70
	1	55.20		1	62.70		1	70.20
	2	55.43		2	62.93		2	70.43
	3	55.63		3	63.13		3	70.63
	4	55.83		4	63.33		4	70.83
	5	56.05		5	63.55		5	71.05
	6	56.25		6	63.75		6	71.25
	7	56.45		7	63.95		7	71.45
	8	56.68		8	64.18		8	71.68
	9	56.88		9	64.38		9	71.88
	10	57.08		10	64.58		10	72.08
	11	57.30		11	64.80		11	72.30

FIGURE 12.C.16.1.

Multipliers for Members Who First Became a Member of a Uniformed Service on or After 1 August 1986 *and did elected to receive the 15 Year Career Status Bonus (REDUX) Plan.*

(Effective Table Date: 1 August 1986)

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
20	0	40	23	0	50.50	26	0	61	29	0	71.50
	1	40.29		1	50.79		1	61.29		1	71.79
	2	40.58		2	51.08		2	61.58		2	72.08
	3	40.88		3	51.38		3	61.88		3	72.38
	4	41.17		4	51.67		4	62.17		4	72.67
	5	41.46		5	51.96		5	62.46		5	72.96
	6	41.75		6	52.25		6	62.75		6	73.25
	7	42.04		7	52.54		7	63.04		7	73.54
	8	42.34		8	52.84		8	63.34		8	73.84
	9	42.63		9	53.13		9	63.63		9	74.13
	10	42.92		10	53.42		10	63.92		10	74.42
	11	43.21		11	53.71		11	64.21		11	74.71

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
21	0	43.50	24	0	54	27	0	64.50	30	0	75
	1	43.79		1	54.29		1	64.79			
	2	44.08		2	54.58		2	65.08			
	3	44.38		3	54.88		3	65.38			
	4	44.67		4	55.17		4	65.67			
	5	44.96		5	55.46		5	65.96			
	6	45.25		6	55.75		6	66.25			
	7	45.54		7	56.04		7	66.54			
	8	45.84		8	56.34		8	66.84			
	9	46.13		9	56.63		9	67.13			
	10	46.42		10	56.92		10	67.42			
	11	46.71		11	57.21		11	67.71			

Yrs	Mos	%	Yrs	Mos	%	Yrs	Mos	%
22	0	47	25	0	57.50	28	0	68
	1	47.29		1	57.79		1	68.29
	2	47.58		2	58.08		2	68.58
	3	47.88		3	58.38		3	68.88
	4	48.17		4	58.67		4	69.17
	5	48.46		5	58.96		5	69.46
	6	48.75		6	59.25		6	69.75
	7	49.04		7	59.54		7	70.04
	8	49.34		8	59.84		8	70.34
	9	49.63		9	60.13		9	70.63
	10	49.92		10	60.42		10	70.92
	11	50.21		11	60.71		11	71.21

FIGURE 12.C.16.2.

12.C.17. Retired Members' Privileges

Retired members not on active duty are entitled to wear the prescribed uniform of the grade or rate held on the retired list when wearing the uniform is appropriate. They may enjoy the privileges of the commissary stores, ship's service stores, small stores, officer clubs as appropriate to their grade, and armed services exchanges subject to the availability of facilities. Subject to the availability of space and facilities and staff capabilities, retired members and their dependents may receive medical care in Uniformed Services medical facilities (e.g., the Public Health Service, Army, Air Force, and Navy) and the benefits of the Uniformed Service Health Benefits Program as applicable. Retired members and dependents may receive one round trip per year on a space-available basis on an MSC vessel if they pay the applicable MSC charges for space-available travel. Retired members and their accompanying dependents are eligible to travel on scheduled AMC flights on a stand-by basis only. Retired members may use their military titles in connection with commercial enterprises.

12.C.18. Retired Members' Obligations

12.C.18.a. Regulatory Requirements

Retired members are subject to Coast Guard and Uniform Code of Military Justice regulations. They may be ordered to active duty in time of war or national emergency at the Secretary's discretion, but may be so ordered in time of peace only with their consent.

12.C.18.b. Wearing the Uniform

Retired members are forbidden to wear the uniform while engaged in non-military, personal, civilian, or business enterprises. Retired members not on active duty residing or visiting in a foreign country shall not wear the uniform except when attending ceremonies or social functions by formal invitation at which the terms of the invitation or the regulation or customs of the country require wearing it.

12.C.18.c. Notification of Address

All retired members must inform the Commanding Officer, **Personnel Service Center** (RAS) of their address.

12.C.18.d. Clearing Published Materials

Retired members are not required to submit for review materials they have prepared for publication. However, if the topic touches upon a national security issue, it is advisable for the author to submit it for clearance. Consult the Public Affairs Manual, COMDTINST M5728.2(series), or contact Commandant (G-IPA) for guidance.

12.C.18.e. Foreign Visits

Retired members desiring to visit foreign countries and places outside the United States continental limits shall comply with instructions listed in Chapter 16.

12.C.18.f. Foreign Employment

Retired members contemplating employment by a foreign government or a company owned by a foreign government must submit a written request to Commandant (**CG-122**), for retired regular members, or Commandant (**CG-131**) for retired Reservists, before accepting such employment. The request process and information required are described in Chapter 16.L.

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18.A. Benefits for Veterans and Dependents

18.A.1. General

The Coast Guard, Department of Veterans Affairs (DVA), and the Social Security Administration (SSA) each are responsible to provide and administer specific benefits for dependents, active duty and reserve members, and veterans and retirees. These benefits, other than those paid by the Coast Guard, are entirely within the jurisdiction of the administering agencies. The determination of entitlement to benefits is dependent upon the member's service status, dependency of dependents and/or survivors, and in the case of survivor benefits, the circumstances of the member's death.

18.A.1.a. Sources of Benefits Information

1. **Coast Guard benefits information can be obtained by calling 1-800-772-8724 or on the Web at http://www.uscg.mil/hq/psc/.**

2. **DVA benefits are described in VA Pamphlet 80-02-1, Federal Benefits for Veterans and Dependents, or information can be obtained on the Web at http://www.va.gov or by calling 1-800-827-1000.**

3. **SSA benefits information can be obtained by calling 1-800-772-1213 or on the Web at http://www.SSA.gov.**

18.A.1.b Benefits Started by Filing a Claim

Even though a person may be entitled to certain benefits, no benefit can start until a claim has been filed. Filing the necessary claim is the responsibility of the person who may be eligible for the benefit. When a military member dies, the Integrated Support Command (ISC) Decedent Affairs Officer (DAO) or the assigned Casualty Assistance Calls Officer (CACO) is responsible to help the survivors initiate their benefits claims.

18.A.2. Death Gratuity

18.A.2.a. General

10 U.S.C. 1475-1480, as amended by Public Law 102-190, authorizes paying a Death Gratuity to the survivor of a Coast Guard regular or reserve member, serving with or without pay, who dies:

1. **While traveling to/from AD/IDT/ADT or**

2. **While on active duty or**

3. While on IDT/ADT

The survivors of members who die within 120 days of their separation date, are also authorized a Death Gratuity, IF the Department of Veterans Affairs (DVA) determines the death was service connected. The Death Gratuity is an entitlement and must be paid to the beneficiary regardless of the indebtedness (including overpayment) of the member to the service.

18.A.2.b. Members Eligible for Death Gratuity

The survivor of the following members is eligible to receive the Death Gratuity:

1. **A cadet at the Coast Guard Academy and while traveling to and from the Academy.**

2. **Any person appointed, enlisted, or inducted into the Coast Guard or Coast Guard Reserve.**

3. **Any Reservist while performing AD/ADT/IDT, with or without pay, or while on authorized travel to or from AD/ADT/IDT.**

4. **Any person while en route to or from, or at, a place for final acceptance or for entry upon active duty in the Coast Guard service:**

   a. **who has been provisionally accepted for such duty; or**

   b. **who, under the Universal Military Training and Service Act, has been selected for active military service and has been ordered or directed to proceed to such place.**

5. **A Reservist who suffers disability while on AD/ADT/IDT, and who is placed in a pay status while receiving hospitalization or medical care, including outpatient care for such disability for as long as the member remains in a pay status.**

6. **Any member killed by a hostile force with which the United States Armed Forces had engaged in armed conflict, even if the hostile force claims the death is for committing a crime or military offense.**

18.A.2.c. Members Ineligible for Death Gratuity

The survivors of the following members is ineligible to receive the Death Gratuity:

1. **Temporary members of the Coast Guard Reserve.**

2. **Members of the Coast Guard Auxiliary.**

3. **Reservist performing work or study in connection with correspondence courses in which the member is enrolled or attending an educational institution in an inactive status under the sponsorship of any of the Uniformed Services.**

4. **Member whose death is the result of lawful punishment for a crime or military offense.**

5. **Member who is declared a deserter at the time of death. The Death Gratuity is payable, if it is later determined the declaration of desertion was in error.**

6. **Member who dies while in an unauthorized absence status (AWOL or AOL) and their date of death is before the normal expiration of their service contracted duty. This applies even if their AWOL/AOL status was due to being held in the custody of civil authorities. (29 Comp Gen 294 and 31 Comp Gen 645).**

18.A.2.d. Eligible Survivors and Death Gratuity Order of Precedence

The following persons are the only eligible survivors who may receive the Death Gratuity. They are paid in the order of precedence listed below. If an eligible survivor dies before receiving the Death Gratuity, it will be paid to the next living eligible survivor in the order of precedence.

1. **Lawful spouse.**

2. **Member's children, regardless of their age or marital status, in equal shares.**

3. **Person designated by the member on his/her BAH/Dependency/Emergency Data. However, by law the person designated on the BAH/Dependency/Emergency Data must be a relative; either a parent (natural, adoptive, in loco parentis) or sibling (half-sibling, full blood, adopted). If the person designated on the member's BAH/Dependency/Emergency Data is not a parent or sibling, the designation is ignored and the Death Gratuity is paid to the next eligible survivor in order of precedence.**

4. **Member's parents, in equal shares.**

5. **Member's siblings – half-blood, full blood and adopted, in equal shares. The Death Gratuity shall not be paid to a member's survivor if the survivor personally killed the member. However, the Death Gratuity will be paid if there is evidence that clearly absolves the survivor from any felonious intent (e.g. Self Defense) (MS Comp Gen B-115170, 16 July 1953).**

18.A.2.e. Coast Guard Responsibility to Determine Eligible Survivor

The responsibility for paying the Death Gratuity to the correct eligible survivor rests with the Coast Guard.

18.A.2.f. Erroneous Payments

When the Coast Guard pays the Death Gratuity to a person clearly not entitled to receive it, it is an erroneous payment. When an erroneous payment is due to an administrative error, a second payment shall be made to the rightful beneficiary or survivor, if the error resulted from improper maintenance of records or administrative negligence. This payment should not be delayed pending recovery of the erroneous payment from the ineligible recipient (37 Comp Gen 131). A second payment shall not be made to a different person if the first payment was based on statements of record made by the deceased member, and the Government has no reason to doubt that the beneficiary's/survivor's status was as stated (37 Comp Gen 131).

18.A.2.g. Death Gratuity Amount and Taxes

The amount of the Death Gratuity is set by law. For calendar year 2004, the death gratuity was set at $12,000.00. For subsequent years the death gratuity was indexed to match the annual Cost of Living Adjustment (COLA) to basic pay. Generally, the death gratuity has been indexed to match COLA and is not taxable.

18.A.2.h. Claim and Payment Procedures

PSC (SES) will make all Death Gratuity payments. Upon being notified of the death of a member, the Casualty Assistance Calls Officer (CACO) will immediately contact the eligible survivor and help them claim the Death Gratuity. The CACO will be supported by the Decedent Affairs Officer (DAO) from the appropriate ISC, HSC or major headquarters unit. CACO/DAO should complete DD Form 397, Claims Certification and Voucher for Death Gratuity Payment, as shown in the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series), Chap 6-B-11, take the completed form to the survivor to be signed and then fax the signed form to PSC (SES) for payment.

18.A.2.i. Eligibility for Death Gratuity when Death Occurs While Traveling To and From Active Duty, Active Duty for Training, and Inactive Duty Training

If a member dies while traveling to and from AD/ADT/IDT their specific travel circumstances must be known in order to determine eligibility for the Death Gratuity. This is most applicable to drilling reservists who die during their drill weekend. In general, the member must have been traveling in a direct route from their residence to their place of duty or their place of duty to their residence, or remaining overnight immediately before the start of active duty, or remaining overnight between successive periods of active duty when they die, in order to be eligible for the Death Gratuity. The following information is required to make the determination:

1. **The date and hour when the member began their travel.**
2. **The date and hour when the duty was to begin or had ended.**
3. **The travel method used.**
4. **The member's actual travel itinerary.**
5. **The manner in which the travel was performed (e.g. passenger, operator).**
6. **Immediate cause of death.**

18.A.3 Unpaid Pay and Allowances

18.A.3.a. General

Any unpaid pay and allowances, including per diem, travel, transportation of dependents, transportation of household goods, etc., found due a deceased member on date of their death shall be paid to the member's survivor.

18.A.3.b. Payment Order of Precedence

Unpaid pay and allowances will be paid to the member's survivor in the following order of precedence:

1. **Beneficiary designated on the member's BAH/Dependency/Emergency Data.**
2. **Spouse.**
3. **Child(ren) and descendants of deceased children by representation.**
4. **Parents, or to the survivor of them.**

5. **Duly appointed legal representative of the deceased member's estate, or if there be none, to the person(s) entitled by the state laws of the deceased members domicile.**

18.A.3.c. Designating a Beneficiary

A member may designate whomever he/she wants or desires to be his/her beneficiary for unpaid pay and allowances. A regular or reserve member uses his/her BAH/Dependency /Emergency Data, to designate his/her beneficiary. Retired members use form CG PSC-3600, Designation of Beneficiary for Payment of Unpaid Retired Pay.

18.A.3.d. Claim and Payment Procedures

1. **<u>Regular or Reserve Member</u>. Upon being notified of the death of a member, the Casualty Assistance Calls Officer (CACO) will determine the beneficiary using the member's latest BAH/Dependency/Emergency Data on file and immediately contact the beneficiary and help them file a claim for unpaid pay and allowances. The CACO will be supported by the Decedent Affairs Officer (DAO) from the appropriate ISC, HSC, or major headquarters unit. The CACO/DAO should complete SF Form 1174, Claim of Designated Beneficiary for Unpaid Pay and Allowances of Deceased Member of the Uniformed Service, as shown in the Personnel and Pay Procedures Manual, PSCINST M1000.2 (series), Chap 6B, take the completed form to the beneficiary for signature and fax the signed form to PSC (SES) for payment.**

2. **<u>Retiree</u>. Upon being notified of the death of a retiree, PSC (RAS) will determine the beneficiary using the latest form CG PSC-3600 on file, prepare a final settlement and forward the settlement report to the beneficiary.**

18.A.4. Department of Veterans Affairs (DVA) Benefits

18.A.4.a. Eligibility for Department of Veterans Affairs (DVA) Benefits

To be eligible for Department of Veterans Affairs benefits the veteran must have been discharged, separated or retired from the Service under conditions other than dishonorable.

18.A.4.b. List of DVA Benefits

The following list is a general description of some of the veteran benefits available through the Department of Veterans Affairs (DVA):

1. **Health Care Benefits**

2. **Disability Compensation - monthly payment to veterans disabled by disease or injury incurred in or aggravated by active military service in line of duty. Allowances are also paid for certain family dependents when the extent of disability is 30 percent or more. Retired personnel may elect to receive disability compensation in lieu of retired pay.**

3. **Disability Pension - available to wartime and Korean-conflict veterans with a non-service-connected disability who have little or no income.**

4. **Montgomery GI Bill.**

5. **Home Loan Guarantees.**

6. **Servicemembers' Group Life Insurance (SGLI) - Coverage continues for 120 days after separation, release from active duty, or retirement. Benefit payable after 120 days following separation provided member converted to an individual policy. Benefit payable to survivors and/ or beneficiaries. SGLI may be converted to Veterans Group Life Insurange (VGLI).**

7. **Vocational Rehabilitation.**

8. **Burial Benefits.**

9. **Dependency and Indemnity Compensation - payable to survivors of veterans or service members who die from a disease or injury incurred or aggravated in line of duty while on active duty or active duty for training, an injury incurred or aggravated in line of duty while on inactive duty training, or a disability otherwise compensable under laws administered by the VA.**

10. **Death Pension - payable to survivors of wartime veterans and those of the Korean-conflict period who have died due to non-service-connected causes.**

11. **Dependent's Education.**

12. **Death Gratuity.**

2. Option B. Choosing this option allows an SBP annuity to flow to the widow(er) should the reservist die before reaching age 60. The annuity will not begin, however, until the date on which the reservist would have been age 60. An election under this option states:

   I elect to provide an annuity beginning on the 60th anniversary of my birth should I die before that date, or on the day after the date of death should I die on or after my 60th birthday.

3. Option C. This option allows a SBP annuity to begin being paid to the survivor upon the death of the reservist whether before or after the reservist's 60th birthday. An election under this option states:

   I elect to provide an immediate annuity beginning on the day after date of my death, whether before or after my 60th birthday.

18.F.12.c. Costs

RC-SBP premiums are deducted from a reservist's retired pay when the member begins drawing retired pay at age 60. Costs are similar to those quoted in article 18.F.7, but vary somewhat depending upon the option chosen. If a retired reservist enters SBP at age 60 having deferred that decision (option A above), costs are identical to those explained in article 18.F.7. Because options B and C allow coverage at an earlier age, costs are slightly higher. Costs for coverage under option C are the highest. A comprehensive set of cost tables covering all options is maintained at **Personnel Service Center.**

18.F.12.d. Annuities

The annuity paid to survivors of reservists is as described in article 18.F.8. However, if the reservist elected pre-age 60 RC-SBP coverage under option B or C, the annuity will be a reduced annuity. The SBP base amount will be reduced by the pre-age 60 RC-SBP cost before being multiplied by 55/35 percent.

18.F.12.e. Beneficiaries' Medical, Dental, Commissary, and Exchange Benefits

Surviving dependents of a Reservist who died before attaining age 60 are entitled to medical care and military benefits when the member would have turned 60 years of age, if the reservist had:

1. **earned 20 qualifying years for retirement and received their notice of eligibility for retired pay at age 60, but had not transferred to the retired Reserve, or**

2. **had entered into a RET-2 status (Retired Awaiting Pay at age 60).**

The surviving dependents are also entitled to exchange and MWR benefits, as well as commissary visits.

18.F.13 Former spouse

18.F.13.a. Discussion

Public Law 97-252 permitted members retiring on or after 08 September 1982 to voluntarily elect SBP coverage on behalf of a former spouse. Previously, members who were unmarried or had no dependent child(ren) on retirement could elect coverage for a former spouse as an insurable interest person if it could be shown that the former spouse had a financial interest in the continuance of the life of the member. Public Law 99-145 placed former spouse coverage under spouse coverage at the same costs and benefits effective 01 March 1986. Public Law 101-189, 29 November 1989, gave courts the authority to mandate that military members provide SBP coverage to a former spouse in the case of divorce, dissolution, or annulment.

18.F.13.b. Elections

There are five types of former spouse elections that may be made.

1. A voluntary election made by the member without entering into an agreement with the former spouse. If the member is married, his/her current spouse shall be notified that the member has made a former spouse election and that such election precludes the current spouse from being covered under SBP.

2. A voluntary election made pursuant to a written agreement between the member and former spouse, and such agreement has been incorporated in a court order.

3. A voluntary election made pursuant to a written agreement between the member and former spouse, and such agreement has not been incorporated in a court order.

4. A deemed election in which a member entered into a voluntary agreement, which has been incorporated or ratified or approved by a court order, and the member fails or refuses to make the election.

5. A deemed election in which the member did not enter into a written agreement with the former spouse, but the court order mandates that the member provide SBP coverage for the former spouse.

18.F.13.c. Special Provisions

1. In some cases, former spouse/child(ren) coverage may be changed to coverage for a spouse/child(ren) acquired after retirement. If the former spouse election was made pursuant to a written agreement or court order between the member and former spouse, the member must provide appropriate evidence of the former spouse's consent or court order to the change. The consent of the former spouse is not required if the member voluntarily elected former spouse coverage without a written agreement.

2. A former spouse shall be notified by **PSC** when a member changes from former spouse coverage to coverage for a spouse/child(ren).

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19.A. Administration of Public Health Service (PHS) Officers Detailed to the Coast Guard

19.A.1. Status of PHS Officers Detailed to the U.S. Coast Guard

19.A.1.a. Coast Guard Health Care

Coast Guard health care is managed by the Director of Health and Safety. As part of that responsibility, a significant amount of direct care and management is provided by PHS officers serving in the Coast Guard. Their status and administration are outlined in this chapter, in the Memorandum of Understanding between the two Services and in the PHS Commissioned Corps Personnel Manual (CCPM).

19.A.1.b. PHS Officers Detailed to the Coast Guard

PHS officers detailed to the Coast Guard will be managed as regular Coast Guard officers except where specific written instructions provide for different administrative procedures.

19.A.1.c. Legal Precedents and Citations

A number of legal precedents and citations which apply to all PHS officers in the Coast Guard detail are documented below:

Legal Precedents and Citations	
1.	**42 U.S.C. 215 (a) states, in part, "Officers detailed for duty with the Coast Guard shall be subject to the laws for the government of the Service to which detailed."**
2.	**10 U.S.C. 802 (8) (Art. 2, UCMJ) clearly indicates the applicability of the UCMJ to PHS officers when assigned to the Armed Forces.**
3.	**In *U.S. v. Braud*, 11 USCMA 192 (1960), the United States Court of Military Appeals answered a certified question of the General Counsel of the Treasury Department, requesting a determination whether a Coast Guard special court-martial on which a Public Health Service officer served as president, while on duty with the Coast Guard, was legally constituted. The answer was affirmative. In the course of reaching this holding, the court indicated that it considered that a PHS commissioned officer detailed to active duty with the Coast Guard is subject to military law and has military status equivalent to commissioned officers of the Coast Guard.**
4.	**Chapter CC26, Personnel Instruction 1, of the PHS Commissioned Corps Personnel Manual, holds PHS commissioned officers responsible for adhering to the (CCPM) Department of Health and Human Services**

	Standards of Conduct Regulations.
5.	**COMDTINST M5370.8B, Standards of Ethical Conduct, applies to PHS commissioned officers detailed to active duty with the Coast Guard in the same way that it applies to active duty members of the Coast Guard.**

19.A.1.d. Indoctrination Course

All newly-detailed PHS officers will **normally, within the first year of entering the Coast Guard, attend a four week Direct Commission Officer (DCO) indoctrination course at the Leadership and Development Center, U.S. Coast Guard Academy, New London, CT.** This program is intended to familiarize them with Coast Guard policies, procedures, and customs. Once PHS officers report to their assigned duty station, local commands shall provide briefings on:

1. All unit orders and instructions.

2. The chain of command structure relevant to that unit.

19.A.1.e. Uniforms

PHS officers shall wear the uniform of the day for Coast Guard officers as prescribed in Coast Guard regulations at the unit to which they are assigned. PHS devices shall be worn, as appropriate, in place of the Coast Guard devices on the cap, sleeves, and shoulder boards. **PHS officers transferring to the Coast Guard from other government agencies are entitled to a uniform issue, under the Supply Policy and Procedures Manual (SPPM), COMDTINST M4400.19 (series), and the Uniform Regulations, COMDTINST M1020.6 (series). The Coast Guard is required to furnish the items it requires PHS officers to have while detailed to the Coast Guard. Commandant (CG-112) is responsible for obtaining the uniform issue from the Coast Guard Uniform Distribution Center.**

19.A.1.f. Official Correspondence

All official correspondence, including that directly between the officer and PHS Headquarters, shall comply with Coast Guard policy on correspondence as covered in the Coast Guard Correspondence Manual, COMDTINST M5216.4 (series).

19.A.2 Grades of PHS Officers

19.A.2.a. PHS Grades

The grades of PHS Officers correspond with the grades of the Coast Guard as follows:

Public Health Service Grade	Coast Guard Grade	Pay Grade
Assistant Secretary for Health	Admiral	O-10
Surgeon General	Vice Admiral	O-9
Deputy/Assistant Surgeon General	Rear Admiral	O-8
Assistant Surgeon General	Rear Admiral (lower half)	O-7
Director Grade	Captain	O-6
Senior Grade	Commander	O-5
Full Grade	Lieutenant Commander	O-4
Senior Assistant Grade	Lieutenant	O-3
Assistant Grade	Lieutenant(Junior Grade)	O-2
Junior Assistant Grade	Ensign	O-1

19.A.2.b. Corresponding Coast Guard Grade

PHS officers detailed to the Coast Guard shall use the corresponding Coast Guard grade, for purposes of identification, address, and official correspondence.

19.A.3 PHS Officer Leave and Leave Records

19.A.3.a. Authority to Grant Leave

District commanders, commanding officers of maintenance and logistics commands, and unit commanding officers may grant any amount of leave to which a PHS officer is entitled. However, in no case, shall leave be granted which would result in more than **an officer is** entitled. In no case, shall leave be granted which would result in more than a 15 day negative leave balance at the beginning of the calendar year in which the officer will be separated.

19.A.3.b. Requesting Leave

Annual leave must be requested and approved on Leave Authorization, form CG-2519, for record purposes.

19.A.3.c. Accrual of Leave

PHS officers accrue 2.5 days of annual leave a month. The Commissioned Officer Leave Tracking System automatically credits PHS officers with a half (0.5) days of leave every 6 calendar days.

19.A.3.d. Commissioned Officers Leave Tracking System and Recording Leave

1. **The official leave record is the responsibility of the local command. PHS uses an automated system called Commissioned Officer Leave Tracking System (COLTS). Leave maintenance clerks (LMC) need to become registered users of COLTS. They should contact Commandant (CG-1123) to request a DCP/ISB User Registration Form.**
2. **Leave maintenance clerks will complete the Registration Request form and fax it back to the PHS Liaison, Commandant (CG-1123).**
3. **The PHS Liaison will review, sign the registration form and deliver it to the COLTS administrator at PHS. The COLTS administrator will contact the leave maintenance clerk and provide a security briefing on the system, assist them with building a database for the PHS officers that they are responsible for, provide instructions on day-to-day operation of the system, and answer any questions that they may have.**
4. **Leave maintenance clerks should ensure they have an accurate leave balance on each PHS officer prior to initializing the leave balance entry for each PHS officer in COLTS.**
5. **The automated leave system is located on the Division of Commissioned Personnel's web page at http://dcp.psc.gov. Select the "Secure Area" option from the menu and then select COLTS.**
6. **PHS officers can monitor their leave balances using their personal User ID and password.**
7. **A copy of the DCP/ISB User Registration Form is shown as Exhibit 19.A.**

19.A.3.e. Transfer to Another Coast Guard Unit

All new PHS officers, whether a call to duty or transferring from another government agency, are required to be assigned to a Coast Guard leave maintenance clerk (LMC). If the LMC should encounter a message when attempting to add a PHS officer indicating that the officer is assigned to another LMC, contact the previous LMC. COLTS automatically provides you with the phone number and email address of the previous LMC and ask him/her to remove the officer from their list. A PHS officer must be removed from your list upon departure from the losing LMC. Only one LMC at a time can be assigned to a PHS officer.

19.A.3.f. Transfer to an Activity outside the Coast Guard

Upon transfer to an activity outside the Coast Guard, the new **LMC will contact you as mentioned in 19.A.3.e and request that you remove the PHS officer from your list.**

19.A.4. Performance Evaluations of PHS Commissioned Officers

19.A.4.a. Preparation and Submission

The Commissioned Officers' Effectiveness Report (COER), PHS Form 838, and accompanying PHS Manual Circular instructions shall be used in reporting on all PHS officers. Exceptions to those instructions are contained in this paragraph and/or with the annual mailing by **Division of Commissioned Personnel (DCP)** or **Commandant (CG-112).**

19.A.4.b. Equally Important as OERs

PHS COERs are equally important as Officer Evaluation Reports used for Coast Guard officers with respect to personnel actions such as promotion, assimilation (integration), and retention. In addition, COERs are used as guides to assignments and as a basis for recommendations for paying or withholding contractual special pays. Complete, fully documented reports, submitted on time, are critical for managing an officer's career. The PHS COER system is a separate, distinct evaluation system that should not be compared to the Coast Guard OES.

1. Submission and Times.

   a. Annually as of **31 May**, on every PHS officer independent of the time the officer has been on board. **The officer, the officer's rater (supervisor), and reviewing official Commandant (CG-11) will follow instructions given by the Division of Commissioned Personnel (DCP) to complete the officer's web based electronic COER. A copy of the officer's COER will be provided to the cognizant MLC(k) and Commander (CGPC-opm-2). The completed COER will be forwarded by Commandant (CG-11) to DCP. A COER for the rated officer will be submitted a**t transfer on permanent change of station orders.

   b. At change of supervisor (reporting officer).

   c. A Special Report may be initiated at any time by the officer's supervisor (reporting officer) to document performance problems, deficiencies etc. Blank forms for these unscheduled reports are available from the **Division of Commissioned Personnel's web page at http://dcp.psc.gov under "Forms" or Commandant (CG-112)**.

2. **Rating** and Reviewing Officers.

   a. The **rating** officer is the immediate supervisor of the officer being reported on. This is either the commanding officer, the executive officer, the division chief, the senior medical officer, or the senior dental officer. Whenever possible, the **rating** officer should be a PHS officer who has direct supervisory responsibilities for the **rated** officer.

   b. As with any effective evaluation system, guidance and counseling must occur throughout the year. Problems should be dealt with as they occur, not for the first and only time at an annual evaluation.

   c. Narrative COERs may be used when the rated officer has been on duty less than 60 days prior to the due date for submission. Narrative COERs should be one page in length and cover such topics as duties, responsibilities, performance, and potential. Forward through normal chain of command for COERs.

   d. Commander, Maintenance and Logistics Command (MLC) (k) shall provide an endorsement for each COER prior to the reviewer's signature.

3. Adverse Reports.

   a. Any report, which contains adverse marks or comments, shall be submitted to the officer reported on for that officer's comment.

   b. No material relating to the COER shall be placed in an officer's record without that officer's knowledge. The officer receiving an adverse report must note acceptance or rejection in section **IV**, item 1 and append comments **in a separate document, or** state in writing the desire not to comment. **The original rebuttal signed and dated by the officer reported on, shall be submitted to DCP with copies to the Rating Officer and the Reviewing Officer.**

   c. If the officer reported on has been detached, the adverse report shall be forwarded directly to that officer and not via the new commanding officer.

19.A.5. Other Reports and Endorsements

19.A.5.a. Endorsements on Orders

Unless otherwise directed, endorsements on orders are needed only for PCS arrivals and departures. Information required on this endorsement includes dates and time of departure/arrival, date assigned to/released from Government quarters, and any leave en route taken.

19.A.5.b. Other Guidance

Guidance on other specific reports such as flight hours, training requests, outside employment requests, etc. are contained in relevant sections of this chapter.

19.A.6. Assignments with the Coast Guard

19.A.6.a. Professional Categories

Medical, dental, pharmacist, scientist, and physical therapist are the principal professional categories of PHS officers presently detailed to duty with the Coast Guard. A very small number of health services, nurses, and **environmental health** officers are also represented.

19.A.6.b. Assignments

PHS officers detailed to Coast Guard units are on full-time assignments. All assignments and transfers are at the direction of the Commandant following standard Coast Guard guidelines with respect to tour length, etc. A PHS officer Assignment Panel meets annually to consider the entire detail. All PHS officer vacancies are published in the annual shopping list. Members of the detail are required to submit **the** Coast Guard **e-resume using the web site: https://cg.direct-access.us.**

19.A.6.c. Orders/Travel Claims

Initial assignments, **permanent change of station**, and final assignment with the Coast Guard will be under **CG** orders and travel will be reimbursed to the officer directly by **CG**. **Initial shipment of household goods upon call to active duty or transfer from another government agency will be arranged through Coast Guard or DOD transportation offices using a CG travel order.**

19.A.7. Assignment to Aviation Duties

19.A.7.a. Definitions and Designations

1. Flight Surgeon (FS).

a. A Flight Surgeon Trainee (FST) (see 7-A-1.b of the Coast Guard Aviation Medicine Manual, COMDTINST M6410.3 (series)) who has completed the requisite number of hours of flight time and other requirements. Coast Guard Personnel Command (CGPC-opm) designates an officer as a FS upon receipt of certification of completion of the required flight time and other requirements in Coast Guard aircraft subsequent to the FST designation, with endorsement by local command and Commandant (CG-1121); or

b. A physician graduate of the Navy or Air Force Residency in Aerospace Medicine, a graduate of the 6-month course at the Naval Aerospace Medical Institute or an officer previously designated as an FS by another Armed Service. Commandant (CG-1121) will verify the flight hours and past experience and training of such an officer. If felt to be qualified, the officer may request, with endorsement from the local command and Commandant (CG-1121), to be designated as a Coast Guard FS by Commander, Coast Guard Personnel Command (CGPC-opm). Commandant (CG-11) will provide the initial set of FS insignia to officers so designated by Commander, Coast Guard Personnel Command (CGPC-opm).

c. All candidates for designation as an FS must provide documentation of successful completion of underwater egress training (Dunker), Egress Breathing Device (HEEDS) and Shallow Water Egress Training (SWET).

d. While in a Duty Involving Flight Operations (DIFOPS) billet, a FS is expected to complete the semi-annual and annual requirements as outlined in Chapter 8-D-3 (Table 8-2) of The Coast Guard Air Operations Manual, COMDTINST M3710.1 (series).

e. The medical representative from Commandant (CG-112) to the Commandant's Aviation Safety Board, the Commandant's Vessel Safety Board and the Commandant's Shore Safety Board must be a designated Coast Guard Flight Surgeon. All aviation medicine decisions/recommendations from CGPC-adm must be made by a designated Coast Guard Flight Surgeon.

2. <u>Flight Surgeon Trainee (FST)</u>.

a. A physician assigned to a DIFOPS billet and who is a graduate of either the U. S. Air Force Aerospace Medicine Primary Course or the U. S. Army Flight Surgeon Primary Course. Upon an individual's request and submission of a copy of the certificate of successful completion of such training, endorsed by the local command and Commandant (CG-1121), the Commander, Coast Guard Personnel Command (CGPC-opm) designates an officer as an FST.

b. A FST can become eligible for designation as Flight Surgeon after completing 12 months in a DIFOPS billet provided the following requirements are met:

(1) The FST must complete 48 hours of flight time in Coast Guard aircraft.

(2) The FST should develop an appreciation for the mental sharpness and physical stamina required of aviation personnel in their hanger deck duties. To this end the FST will observe at least a portion of each of the following aircraft maintenance procedures (these observations should be noted in the FST's flight logbook):

(a) Engine removal;
(b) QA check after engine installation;
(c) Generator change;
(d) Radar maintenance or repair;
(e) Corrosion control activities;
(f) Refueling;
(g) Crew preflight and postflight routines.

(3) The FST should be encouraged to learn the missions, SAR role, crew designations, and endurance of each type of Coast Guard aircraft. Flight time in aircraft not normally located at the Air Station to which the FST is assigned is desirable (within the constraints of cost and time) to round out the FST's familiarity with the Coast Guard aviation community.

(4) The FST must also complete the same semi-annual and annual requirements imposed on Flight Surgeons as outlined in Chapter 8-D-3 (Table 8-2) of The Coast Guard Air Operations Manual, COMDTINST M3710.1 (series) .

(5) Per the Uniform Regulations, COMDTINST M1020.6 (series), Chap 5.B.1, FSTs are authorized to wear the flight surgeon insignia they were awarded from the Army, Air Force or Navy.

3. <u>Aviation Medical Officer (AMO)</u>.

a. A physician graduate of the U.S. Air Force Aerospace Medicine Primary Course or the U. S. Army Flight Surgeon Primary Course who has not yet been assigned to a DIFOPS billet. Upon an individual's request and submission of a copy of the certificate of successful completion of such training, endorsed by the local command and Commandant (CG-1121), the Commander, Coast Guard Personnel Command (CGPC-opm) designates an officer as an AMO or;

b. A former FST who, while assigned to a DIFOPS billet, either failed to acquire the requisite number of flight hours specified in 19.A.7.a.2.b above or who failed underwater egress training or HEEDS/SWET training. In these cases, Commander, Coast Guard Personnel Command (CGPC-opm) redesignates the FST as an AMO.

c. An AMO who is assigned to a DIFOPS billet may apply to Commander, Coast Guard Personnel Command (CGPC-opm) for designation as an FST. This officer may then be eligible for subsequent designation as FS in accordance with the requirements of Article 19.A.7.a.2.b. above.

d. Per the Uniform Regulations, COMDTINST M1020.6 (series), Chapter 5-B-1, AMOs are authorized to wear the flight surgeon insignia they were awarded from the Army, Air Force or Navy.

4. <u>Aeromedical Physician Assistant (APA)</u>.

a. A physician assistant graduate of the U. S. Army Flight Surgeon Primary Course, or other military flight surgeon courses as authorized.

b. Upon an individual's request and submission of a copy of the certificate of successful completion of such training, endorsed by the local command and Commandant (CG-1121), the Commander, Coast Guard Personnel Command (CGPC-opm) designates an officer as an APA.

c. There exists no specific billet category for a Physician Assistant designated as an APA. APAs assigned to CG Air Stations, ISCs, Groups and afloat assets provide significant support to the flight surgeon, the command and the assigned aviation personnel. PAs' assignments are based solely on their clinical/primary care capabilities and not the additional qualification of aviation medicine training. Training leading to the designation of APA is entirely voluntary and contingent on meeting Class 2 aviation physical standards. Commands that desire an assigned APA to maintain regular flight hours/function as a crewmember are recommended to provide Hazardous Duty Incentive Pay equivalent to other crew members of the unit. An APA that functions as a crewmember shall receive the same training and meet the same qualifications as other crewmembers, to include 9D5 Dunker Egress training, HEEDS/SWET training, other periodic training, as outlined in The Coast Guard Air Operations Manual COMDTINST M3710.1 (series), Chapter 8-D, and winter survival training, if appropriate.

d. Officers shall request and receive clinical privileges to function as an APA prior to functioning in this capacity.

e. A designated APA is eligible to wear the insignia awarded by their Primary Flight Surgeon Training course. Coast Guard Flight Surgeon and Air Crew insignia are not authorized.

f. Aviation Candidate (Student Naval Aviator (SNA)) physical exams and physical disqualification waiver requests performed by an APA must be countersigned by the local FS/AMO supervising the APA.

g. APAs are not authorized to serve as the designated medical representative on an aviation mishap investigation board.

19.A.7.b. Aviation Career Incentive Pay:

1. <u>Aviation Career Incentive Pay (ACIP), (Figure 7-1 of the Coast Guard Aviation Medical Manual, COMDTINST M6410.3 (series))</u>, is made for physicians contingent on the frequent and regular performance of operational flying duty within a specified billet (DIFOPS), in accordance with Public Health Service Commissioned Corps Personnel Manual CC22.3, Instruction 3. The steps to follow are summarized below:

a. CG designation letter as a FS or FST is forwarded to Division of Commissioned Personnel (DCP) Compensation Branch (CB) by PHS Liaison (note: member should ensure that PHS Liaison has designation letter and forwards this to PHS). Also a billet description showing DIFOPS status must be furnished to DCP/CB if billet was not previously a DIFOPS billet.

b. CB will review designation and billet and issue orders designating officer as an FS or FST and establishing the Aviation Service Date (ASD). (Note: Until PHS has processed these orders, the member is not entitled to ACIP. The member should ensure that this paperwork is properly filed or entitlement to ACIP will be delayed.)

c. CB will process an order to authorize payment of ACIP effective as of the date of designation on PHS orders.

e. ACIP is not continuous or automatic. Flight hour reports must be submitted monthly, even if no hours are flown, to the Public Health Service (DCP/CB). The hours must be certified by the command. A sample format for this report is included as Figure 7-1 of the Coast Guard Aviation Medical Manual, COMDTINST M6410.3 (series). All correspondence to DCP/CB should go to the address listed in Figure 7-1 of the Coast Guard Aviation Medical Manual, COMDTINST M6410.3 (series).

2. <u>Aeromedical Physician Assistants (APA)</u> are not eligible for ACIP. However, APAs are eligible to receive hazardous duty incentive pay (HDIP) as an aircrew member at the discretion of the unit commander.

19.A.7.c. Training Requirements

1. **Per The Coast Guard Air Operations Manual, COMDTINST M3710.1 (series), Chapter 8: minimum requirements for all designations engaged in frequent aerial flight:**

   a. **Emergency Ground Egress Training**

   b. **Training in Installed Survival Gear**

   c. **Training in Use of Intercom System and Terminology**

   d. **Water Survival Training and Swim Test**

   e. **Low Pressure Chamber Training (Pressurized Aircraft)**

   f. **9D5/9U44 (Helicopters)**

   g. **Training in Search and Scanning**

   h. **Training in Operating the Flare Launch Panel (C-130)**

   i. **Egress Breathing Device/Shallow Water Egress Training (R/W only)**

   j. **First Aid and CPR Training**

   k. **Local Initial OPSEC/COMSEC Training**

2. **<u>Each member reporting to a unit shall receive</u>, as a minimum, training on unit-unique equipment, operating area survival demands and equipment, area familiarization, hospital sites within operating area, and local policy and procedures prior to any operational flying.**

3. **<u>Each member shall attend a land survival briefing</u>, or view a locally produced audio-visual presentation tailored to the problems unique to the unit's operating environment.**

19.A.7.d. Mishap Investigation

A Flight Surgeon, Flight Surgeon Trainee or an Aviation Medical Officer may participate as the designated medical representative on an aviation mishap investigation board. Information on participating on such a board, including recommended procedures, may be found in the Safety and Environmental Health Manual, COMDTINST M5100.47 (series), Chapter 2.

19.A.8. Attendance at Professional Meetings, Short-Term Courses of Instruction, and Long Term Training

19.A.8.a. Short-term Training

PHS officers serving full-time with the Coast Guard may attend short-term training and education courses, and similar sessions of a technical, scientific, or professional nature. Such training may be authorized at government expense where it is applicable and beneficial to the Coast Guard and the individual.

19.A.8.b. Training Requests

1. **Training requests for professional development shall be submitted in accordance with the standard Coast Guard procedure to local commands for funding. PHS and CG medical officers may also apply for attendance at required training courses by submitting Short Term Training Requests (CG-5223) to Commandant (CG-1121) via the chain of command.**

2. **In conjunction with references from the Medical Manual, COMDTINST M6000.1 (series) and The Coast Guard Air Operations Manual, COMDTINST M3710.1 (series), FS/FST/AMO/APA medical officers will participate in a program of continuing education in aviation and operational medicine including training for flight surgeons/APAs by other branches of the Armed Forces.**

19.A.8.c. Long-term Training

Long-term training is addressed in the **Coast Guard** Training and Education Manual, COMDTINST M1500.10 (series), Articles 3-B-15.c. and d. Applications must be submitted annually prior to 15 May. Selection Boards are held annually in August/September. Officers need to be aware of the two-for-one service obligation in accordance with the Training and Education Manual with respect to active duty obligation incurred prior to participation in training programs.

19.A.9. Outside Employment of PHS Officers

19.A.9.a. General Restrictions

Outside employment, within the meaning of this article, is any work or service performed by a PHS officer other than the officer's assigned duties. This includes employment, self-employment, and other services, whether or not paid. PHS officers must refrain from outside employment of the following types:

1. Work which violates Federal or State statutes or local ordinances, executive orders, or regulations to which the officer is subject. This includes any activity where dual compensation may be involved.

2. Work or interests involving a real or apparent conflict of interest, even though not in violation of any specific provision of statute.

3. Work identifying the Coast Guard, the Public Health Service, or the officer in an official capacity with any organization commercializing products relating to work conducted by the Coast Guard, the Public Health Service, or with any commercial advertising matter, or work performed under such circumstances as to give the impression that it is an official act or represents an official point of view.

4. Work that takes the officer's time and attention during official working hours.

5. Work in which the officer makes use of official facilities not available to the general public.

6. Work of such extent or nature as to impair the officer's efficiency in discharging official responsibilities.

7. Work which brings discredit, criticism, or embarrassment to the Coast Guard or the Public Health Service.

19.A.9.b. Approval of Outside Employment

Each PHS officer is held personally responsible for refraining from prohibited types of outside employment. Administrative approval from Commandant (**CG-11**), via the chain of command and the cognizant MLC(k), must be obtained using HHS FORM before engaging in outside employment and a copy of such approval must be made part of the officer's Coast Guard file kept in Commandant **(CG-112),** as well as at **DCP**. Willful failure to request approval for outside employment is grounds for disciplinary action. Requests to practice medicine or dentistry in a hospital, clinic, or private practice will certify that:

1. Applicant holds a valid State license for the State in which employment is to be performed.

2. Applicant has medical protective insurance purchased by the hospital, clinic, or personally.

19.A.9.c. Forwarding of Materials

A copy of all of the materials cited above will be forwarded to the Public Health Service via Commandant **(CG-112)** for inclusion in the officer's official personnel files.

19.A.9.d. PHS Regulations

PHS regulations also apply, unless otherwise stipulated (refer to Standards of Conduct, PHS CCPM CC26.1).

19.A.10. Prohibited Activities for PHS Officers

19.A.10.a. Statute or Administrative Policy

While not a comprehensive listing, activities that are prohibited by statute or administrative policy of the Department of **Homeland Security and the Department of Health and Human Services**, U.S. Coast Guard, and Public Health Service are contained in the following:

1. Title 49, Part 99, of the Code of Federal Regulations. (Refer to Standards of Ethical Conduct, COMDTINST M5370.8 (series).)

2. Standards of Conduct, PHS CCPM CC26.1.

3. Chapter 15, Part 2, United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series).

4. Article 8.H, 16.C, and 16.D, of this Manual. When in doubt as to the propriety of any law, rule, ethical principle or activity, advice should be sought from nearest designated ethics official.

19.A.11. Termination of Duty with the Coast Guard Detail

19.A.11.a. Release from Coast Guard

PHS officers detailed to the Coast Guard may request release from the Coast Guard detail by separation, retirement, or reassignment outside the Coast Guard.

1. Retirement with less than 30 years of service requires PHS approval. Submit requests for voluntary retirement after 20 years but less than 30 years of service via the chain of command to the PHS Division of Commissioned Personnel via Commandant (**CG-11**) in time to be received by PHS as follows:

Retirement Package Due to PHS	PHS Voluntary Retirement Board	First Available Retirement Date	Last Date OfficerMay Retire
January 5	1st Tuesday in February	March 1	August 1
March 5	1st Tuesday in April	May 1	October 1
May 5	1st Tuesday in June	July 1	December 1
July 5	1st Tuesday in August	September 1	February 1
September 5	1st Tuesday in October	November 1	April 1
November 5	1st Tuesday in December	January 1	June 1

2. Submit requests for separation **using PHS form 1373** via the chain of command to **DCP via** Commandant **(CG-112).** These must be received by PHS 30 days prior to the last day the officer will be physically at final duty station.

3. **Requests for release from Coast Guard Detail for reassignment within a PHS activity, detail to a different agency, or for an inter-Service transfer must be made in writing to Commandant (CG-11) for review. Commandant (CG-11) will forward a copy of the request to Commander (CGPC-opm-2).**

19.A.11.b. Additional Information

Additional information regarding separation or retirement is available in the PHS pamphlets on these subjects, the CCPM, and **from CG-1123.**

19.A.12 Miscellaneous

PHS officers detailed to the Coast Guard are subject in several respects to PHS rules and regulations. Resources for information and answering questions will include the PHS Commissioned Corps Personal Manual, the Memorandum of Understanding (MOU) between Coast Guard and PHS, and other references. Questions may be addressed through Commandant **(CG-112)** for resolution.

Exhibit 19.A. PHS Form 7083, Leave Maintenance Clerk Registration Request

U.S. Department of Health and Human Services
Public Health Service Commissioned Corps

LMCW

COMMISSIONED OFFICER LEAVE TRACKING (COLT) SYSTEM
LEAVE MAINTENANCE CLERK USER REGISTRATION REQUEST

INSTRUCTIONS FOR COMPLETION: Enter the appropriate information in the boxes and circles below. Do not write outside of the provided spaces as this information will be optically scanned.

For optimum accuracy, please print in capital letters and avoid contact with the edge of the box. The following will serve as an example:

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

First Name **MI** **Last Name**

E-Mail Address

(Area Code) WORK Telephone Number

( ) - ext:

Admin Code

Leave Maintenance Clerk Social Security Number

- -

1 2 3 4 5 6 7 8 9 0

Shade circles like this: ●
Not like this: ☒ ✓

Operating Division/Program Head

I hereby request that the above-named person be registered as a user of the Division of Commissioned Personnel's (DCP) Information Services Branch (ISB) Computer System. I further understand that I MUST notify the ISB Security-Administrator and DCP's Approving Official at (301) 594-0961, within 24 hours, when the above-named person is transferred, reassigned, or terminated.

Signature: Date: __/__/____

Type or Print Name:

Registered User (Leave Maintenance Clerk)

I acknowledge that I have received a security briefing and that the User ID I receive allowing me access to the COLT System is to be used only for the purpose of conducting official business. I understand that I am responsible for the safeguard of the password, and that any disclosure of my password or unauthorized use of the system will be considered a serious breach of security, and could lead to disciplinary action and/or prosecution under Title 18 U.S.C.

Signature: Date: __/__/____

Privacy Act Statement for Form PHS-7038

This statement is provided pursuant to the Privacy Act of 1974, Records System: 09-40-0001, "PHS Commissioned Corps General Personnel Records," HHS/PSC/HRS. The information you provide on this form will be used to update the COLT System database and will be used only as necessary in personnel administration processes carried out in accordance with established regulations and published notices of systems of records. The social security number is requested to uniquely identify each registered user.

PHS 7038 [illegible]

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.3. (Page 2) 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. _____ _____

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21.A. LANGUAGE USAGE IN THE WORKPLACE ***2***

21.A.1 GENERAL **2**

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21.A. Language Usage in the Workplace

21.A.1. General

The Coast Guard needs and values the multi-lingual skills of the workforce as key capabilities that enable the Service to execute important missions everyday. However, away from the context of those missions, questions arise from time to time as to whether it is appropriate to speak a language other than English at the workplace. In order to continue to foster work environments which encourage multi-lingual capabilities while minimizing the potential for others to feel intimidated or excluded, the following practices will be followed:

21.A.2. Practice

1. As a standard practice, English will be used as the common language when conducting business in the Coast Guard workplace because there is a critical need for clear and effective communications when it comes to mission accomplishment and safety. It is also imperative in promoting unit cohesion, teamwork, and readiness.

2. While the overwhelming majority of communications occurring throughout the Coast Guard will be conducted in English, there are, and will continue to be, instances where it is acceptable for casual conversations, outside of the immediate work group, to be held in languages other than English. Examples of these include conversations between crewmembers on the mess deck and passageway or in a one-on-one private conversation. Conversations of this nature encourage the development and maintenance of the language skills and cross-cultural exposure and expression that may be critical when conducting Coast Guard missions. However, in an office setting or group situations, English shall be used as the common language so that everyone understands what's being communicated and feels included in the process.

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21.B. Conducting Traditional Ceremonies

21.B.1. General

An important part of Coast Guard history, traditional ceremonies such as Chief Petty Officer initiations, crossing the equator, Arctic and Antarctic Circle initiations, etc., are a noteworthy milestone for our men and women. During years past, these events were viewed as a "rite of passage." Those who had achieved the exalted status being recognized had the right to initiate the "new arrivals." In the days of sail, this sometimes involved humiliating, degrading, and even assaulting inductees during initiation. Today, the Coast Guard has articulated unequivocal policies on human relations, sexual harassment and hazing. Traditional ceremonies must be meaningful initiations which emphasize sea-going lore and history while preserving the inductees' personal pride and dignity.

21.B.2. Policy

According to Coast Guard Regulations, COMDTINST M5000.3 (series), Article 4-1-15, Traditional initiations, such as for advancement to Chief Petty Officer or crossing the Equator, the International dateline, etc. are permitted, but they shall not include any degradation of character, sexual overtones, bodily harm or undue harassment, and shall be conducted with the complete knowledge of and oversight by the Commanding Officer.

21.B.2.a. Core Values

Great strides have been made to ensure Service-related ceremonies and associated crew activities promote pride, camaraderie, and well-being among unit personnel. Commanding Officers must ensure they are devoid of sexual overtones or hazing. The Coast Guard's core values of Honor, Respect, and Devotion to Duty must guide our conduct. Consequently, our leaders must constantly reinforce Coast Guard core values. This is especially important during some rituals such as line-crossing ceremonies, when standard chain of command roles may be confused with "shellback" or "pollywog" roles. Without proper oversight, ceremonies can quickly change from benign, light-hearted activities all can enjoy to offensive behavior which demeans and alienates Coast Guard personnel.

21.B.2.b. Responsibilities

Traditional ceremonies are permitted provided they abide by guidelines set forth in Coast Guard Regulations, COMDTINST M5000.3 (series); Coast Guard Equal Opportunity Program Manual, COMDTINST 5350.4 (series); and the Guideline for Chiefs' Call to Initiation published by the MCPOCG. Commanding Officers and Primary Command Enlisted Advisors always must know the type and tone of ceremonial activities planned and conducted. To this end, they may act as participants in ceremonies only if they can also maintain knowledge, oversight and propriety over all ceremonial activities. The responsible Command Enlisted Advisors shall be present during all traditional ceremonies and maintain appropriate control. Commanding Officers and Primary Command Enlisted Advisors must be sensitive to all members' perceptions of these ceremonies, their effect on the working environment and emphasize their meaning and tradition, while upholding our core values and ensuring the protection of each member's personal pride and dignity. More importantly, Coast Guard conduct always must adhere to the ideals of the Commandant's Human Relations Policy, regardless of the prevailing or apparent perceptions of the individuals potentially affected.