



***THE
CAPTAIN
ASSIGNMENT
GUIDE***



ASSIGNMENT YEAR 2014 (AY14)

Welcome!

The 2014 Captain Assignment season is underway! Congratulations to all the new O-6 selectees and welcome to the Captain ranks. For all veterans of this process, welcome back.

Due to the uniqueness of the O-6 assignment process, we have created this guide to:

- Explain the O-6 assignment process;
- Pass along the rules of engagement; and
- Manage expectations.

Though this guide is targeted to Captains and Captain-selects, we encourage all flag officers and SESs to review it in order to assist them in understanding their role.

Who We Are

The O-6 Assignment Team within CG PSC's Officer Personnel Management Division (CG PSC-OPM) consists of:

- CAPT Mike Ryan will assume OPM Division Chief responsibilities in June 2013. Serves as assignment officer (AO) for CCG/VCG/DCO/DCMS EA billets, all Chiefs of Staff, principal deputies to Flag Officers/SES, Academy assistant superintendent, all Flag/SES EA billets, CG-00/09 direct reports, CG-0921, CG-0941, CG-82, and Area/ District (dr/dp) assignments.
- CAPT Jack Kenyon will assume OPM Assistant Division Chief (OPMa) responsibilities in June 2013. Serves as AO for all O6 Command assignments, liaison billets and most staff jobs.
- CWO Kenneth Pallais assists in executing the O-6 assignment process and issues orders.
- Mr. Alan Baldwin, Administrative Assistant to OPM and OPMa manages the O-6 shopping list and assists in executing the O-6 assignment process.

Key Elements

The key elements are the **Shopping List**, **E-Resume**, the **One-Page Biography**, and the **O-6 Assignment Panel**.

The Shopping List The O-6 Shopping List consists of those O-6 billets that are expected to be filled in AY14 and was initially published in January 2013. You may access the updated/current shopping list via the PSC-OPM Portal and we will also send updates via email. Significant changes to the shopping list normally occur after the results of the RDML selection and Captain Continuation boards, the Senior Education Fellowship Panel (SEFP), and the Senior Command Screening Panel (SCSP) are released. Additions and deletions to the O-6 Shopping List will be made as needed after 1 September.

Shopping list updates are intended to give you a chance to consider new alternatives. Please don't subject your AO or the incumbent in an advertised billet with questions regarding why the billet will be vacant or what is happening with the incumbent.

The E-Resume

The **E-Resume** is the primary method of submitting your assignment preferences to us. If you enter substantial comments in the E-Resume, or have compelling items to convey to OPM, please also email them or discuss the matter directly with your AO. Entering your biography in the E-Resume is not necessary.

Your E-Resume must be submitted via Direct Access **NLT 1 September 2013**. Submitting the E-Resume substantially in advance of this date is not recommended (other than to apply for command screening or other programs) since the selection board/panel results will drive changes that may greatly influence your submission.

We strongly recommend that you share your draft E-Resume with your family and discuss your goals and objectives with them before submitting your final E-Resume.

Please do not view submitting your E-Resume as an entering position to begin an extensive and iterative dialog. There will not be time for making major changes after 1 September 2013 or for extended discussions with the AO as the assignment season progresses (reach out to OPM early in the season). If you do need to submit an E-Resume update, you should notify OPM/OPMa immediately as the system does not automatically alert that a new one has been submitted.

E-Resume Craftsmanship

A well-crafted E-Resume should reflect assignment options within your primary specialty and acknowledge possible outcomes. An E-Resume that lists only five CO jobs and nothing more tells us you haven't considered the possibility of assignment to other than command. The same applies to E-Resumes that list only an extension or billets in a single geographic area.

A broad E-Resume communicates your preferences in priority and addresses alternatives that you believe are appropriate given your specialty background and/or experience. It is not uncommon for Captains to submit an E-Resume with 15 - 20 diverse jobs listed. A very narrow E-Resume conveys nearly the very same message as a blank E-Resume. Thus, we will assume you will be equally satisfied with any assignment if we are unable to offer any of the few preferences listed.

If you prefer an out-of-specialty assignment, please specify that in your E-Resume.

O-6 Biography

Captains and O-6 (selects) that are eligible for transfer in AY14 must prepare and submit a one-page Biography to Mr. Alan Baldwin (OPM Admin Assistant) by **01 August**. Officers selected for O-6 by the PY14 Captain Selection Board must submit a biography by 1 September. The template is included at the end of this guide and available on the OPM Portal. This document contains your assignment history, education, and background. It will be forwarded to the cognizant Flag Officer/SES for

each billet you request on your E-Resume and the ones we feel are appropriate given your assignment history and specialty background. It may also be used as a tool for selecting Captains to serve on special projects. **Please do not deviate from the prescribed format.** Submissions that deviate from the standard will be returned for correction to ensure conformity prior to forwarding to Flag Officers/SESs. We cannot stress this enough!

Expectation Management

Managing your assignment expectations is one of our top priorities; in particular for Captain-selects who are unfamiliar with the O-6 assignments process. While many O-6 vacancies are “direct reports” (Chief of Staff, Deputy, etc.) to flag officers/SES members, many others are staff positions at HQ, Area and District staffs. This mix lends itself to several different paths for managing an O-6 career. The examples provided below are intended to help you better understand how an O-6 may move from one O-6 position to another throughout your O-6 career:

	Track 1	Track 2	Track 3
New O-6	HQ/Ar/Dist Staff	HQ/Ar/Dist Staff	Command
2 nd Tour	Command	Follow-on Staff	HQ/Ar/Dist Staff
Post Cont	DCS/ Deputy	Command	DCS/Deputy
O-6	or Senior Staff		or Senior Staff

Who’s in Play?

Every Captain and Captain-select, unless scheduled for retirement, is technically in play for each assignment season. However, in keeping with the Commandant’s goal of “Steadying the Service,” our intent is to transfer only tour complete O-6s unless Service needs dictates otherwise.

If you’re a Captain-select serving in an O-5 billet and not tour complete, you are more susceptible to an early transfer than a person already in an O-6 billet, unless you are a sitting commanding officer. These officers shall participate in the assignment season process until released by OPM/OPMa since we may have a billet need for your specialty (operational or technical) that can’t be satisfactorily met with the pool of tour complete O-6s.

Extension and Early Rotations

A request for extension in your current billet is viewed by OPM and the O-6 Assignment Panel as one assignment preference on an E-Resume and will be considered along with your other E-Resume choices. The likelihood that you will be approved for extension depends on several factors. In some cases Service need may be best met by extending you in a billet, while other times the Service need is best met by moving you and affording others the opportunity to serve in a desirable or developmental billet. Extensions are considered ‘orders’ and if you are granted an extension, you will incur 12 months of obligated service from the date you execute your new orders.

Captains who will have completed at least two years in their current assignment by 15 September 2014 may request to go in play to transfer

with Flag officer concurrence. **Requests to go in play should be submitted with Flag/SES endorsement via email to OPM/OPMa prior to 1 August 2013.** If you are approved to go in play, your billet will be shopped and you *may* be reassigned.

For early rotations, we require an endorsement from the first flag officer or SES in your chain of command. The purpose of the command endorsement is not to give an opinion of your suitability for other billets, but rather to address the effect your early departure would have on unit continuity or the overall skill/experience level of the unit staff. “Conditional” positive endorsements (e.g., “I support early rotation for billet X but not for billet Y”) are not appropriate.

Sitting Commanding Officers/Unit Commanders are expected to complete their full tour of duty (other than departing for retirement). Thus, requests for early rotation will NOT be considered. This is consistent with the command cadre short tour policy (Chapter 1, COMDTINST 1000.3).

Rotation Dates and Career Implications

We often consider extensions and early rotations in conjunction with two key career events: continuation and 30-year mandatory retirement. For pre-continuation Captains, you should consider where you will be with respect to your continuation board. If you are tour complete or ask to move in the year you will likely be considered for continuation, realize that if you are non-selected, you may need to move twice in 12 months. For post-continuation Captains, you should consider where you are with respect to reaching the 30-year mark. If you are going to be tour complete in your 29th year, you may want to consider seeking to move a year early in order to complete a final two-year tour. Otherwise, the alternatives are to request an extension, compete for a new billet in which you would serve for only one year, or voluntarily retire at 29 years. Assigning Captains at the 29 year mark of their careers is typically the most challenging of all assignments. Thus, to the maximum extent possible, you should plan your O-6 assignment track to avoid transferring at that point in your career.

Special Needs

Please know that many officers have “Special Needs.” However, in order for us to consider your special needs as a factor in the assignment process, it must meet the criteria of the Special Needs Program (COMDTINST 1754.7 (series)) and you must register and be approved. Special Needs program participation is not optional; it is required. Eligible Captains must also check the Special Needs box on the E-Resume. When we see that indicator, we work closely with the Special Needs program administrator in CG-11 to ensure potential assignment outcomes are compatible with the Special Need. Please don’t wait to introduce this consideration until after you have received orders, as this will make it very difficult for the Service to accommodate your unique circumstances.

Aside from Special Needs, many of you will be contending with children in high school, caring for aging parents, a challenging housing market, and spouse employment issues. Though we will make every attempt to

accommodate your situation, it is nearly impossible to accommodate everyone's special considerations.

Command Screening The criteria for command screening is defined in PSCNOTE 1401. All commands require best qualified screening before selection. The results from the SCSP will be released in late August 2013.

The OPM Process Armed with the Shopping List, your E-Resume and biography, we develop assignment slates and engage flag officers/SES in a dialog concerning O-6 billets under their cognizance. This dialog normally covers skill-set needs, priorities regarding billets, and information with which to reconcile questions on billets, and the broad population of officers meeting specialty/billet needs.

We also start developing a list (candidate pools) for each billet and include the name of every O-6 requesting that billet on their E-Resume as well as the ones we feel are appropriate given their assignment history and specialty background. Officers that are detailer added to a candidate pool will be notified of that action.

Working the Slates In October of each year we begin discussing candidate lists with the Flag Officers/SESs—directly or through their principal assistants/deputies. We normally work with incumbents; however, for many positions we also seek input from the incoming Flag.

What is Revealed? The information we pass regarding candidates is your one-page biography and general answers to questions regarding a candidate's record of performance. We do not reveal E-Resume assignment preference or your OERs to the billet owner, but detailer additions are noted. The O-6 Assignment Panel will also view your E-Resume.

What Kind of Say Does the "Billet Owner" Have? In return, we ask for very simple feedback on each officer we propose. At a minimum, the Flag Officer/SES specifies whether each candidate is preferred, acceptable or unacceptable. Absent a disqualifying matter of record or lack of requisite experience, most candidates are considered acceptable. Please understand that we will not share details of our conversations with the Flag officer/SES, just as we don't discuss details of your E-Resume with them. This approach maintains the confidentiality of the process. Flag Officer/SES input is one factor the O-6 Assignment Panel takes into account when making its final decision.

Pre-Continuation vs. Post-Continuation While seniority is one factor in the O-6 assignment process, there are no O-6 billets coded/designated as "post-continuation." However, our more senior Captains are generally assigned as EA to CCG/VCG, District/Area Chiefs of Staff, principal deputies to Flag Officers/SES, CGA Assistant Superintendent, CG-0921 and CG-82. OPM is responsible for these types of billets, while OPMA is responsible for the majority of the other O-6 billets. Both sets of billets will be filled from the O-6 candidate pool regardless of a member's "pre" or "post" continuation status. Seniority and experience will continue to be critical factors in the

process, but depending on the supply-and-demand dynamics associated with any one assignment season, post-continuation Captains can be assigned to any vacant O-6 billet. While there are no absolutes, a good way to get a sense for the “seniority” of a billet is to consider the seniority (+/- 1 year) of the incumbent at the start of their tour, as well as the presence or absence of supervisory responsibilities over other O-6s.

Marketing yourself?

Each year we are asked: “Should I call the chief of staff or flag officer?” “Should I send a letter or resume?” “Should I send a copy of my E-Resume to the flag officer and program director?” etc. We recognize that some officers do this in order to introduce themselves but please know that this is *not* part of our assignment process. On some occasions it has proven helpful and in other instances it has not. In general, we do not recommend this type of engagement. Generally, if a Flag Officer/SES is interested in speaking with you regarding one of their vacancies, they will contact you. If you feel compelled to send your information, we suggest you seek the counsel of the Flag Officer/SES’s Deputy, Chief of Staff or EA to determine if it is appropriate.

The Feedback Loop

As the assignment process goes into late October and early November, we recognize that your anxiety level will be heightened. You’re certainly welcome to call and check on our progress. However, please understand if we tell you, “we don’t know yet” or “it’s too early to tell” that is exactly what we mean. Certain parts of the slate are worked out before others, but there are always billets that will not be determined until just before the O-6 Assignment Panel. At many junctures of the process we are simply in a “holding pattern” awaiting feedback from a senior officer or awaiting a single assignment that will affect several others. Regardless, if you call us, we will reveal what we can.

By approximately mid-November we will get a sense of the billets for which you may be most competitive. **One caution:** saying you are “competitive” is not an indication of what we may eventually see before the O-6 Assignment Panel convenes. Being competitive normally means you are among the pool of a few candidates likely to be recommended to the panel. Remember, we are providing the same information to your peers but we will not tell you who else is in competition for that billet.

During the week prior to the Assignment Panel convening date, we will notify you of our assignment recommendation. Please make sure your contact information is up-to-date in Direct Access or send us an e-mail with your temporary details if you will be on travel.

We normally stop all communications with officers in play the day before the Panel convenes and do not return or make calls while the Panel is in session.

The Panel

The O-6 Assignment Panel convenes in December. Panel membership consists of five flag officers assigned to serve by the Commandant; the only other people in the room are OPM, OPMa and the OPM support staff.

Our proposals to the O-6 Assignment Panel are our assessment of the best match of Service needs, unit needs and your individual needs - in that order. We strive to optimize overall Coast Guard staffing to maximize mission execution. This often drives us to find a compromise/balance between Service/unit need and your needs/desires. Besides our proposals, we make available to the panel your E-Resume, your one-page biography, letters from candidates to the Panel President, screening panel results, the names of all personnel asking for a billet, input from the cognizant Flag officer(s)/SES(s), your Employee Summary Sheet (ESS) and a characterization of your Service record. We specifically note whether or not a billet is on your E-Resume and whether you find the assignment acceptable or unacceptable - and why. We explain our rationale for an assignment proposal and alternatives if needed.

OPM presents assignment slates that reflect months of diligent effort to align and optimize service/unit/member requirements, but it is conceivable that the Assignment Panel may not agree with our recommendation. Thus, do not be surprised if your final assignment differs from what we initially proposed.

The Panel typically meets for two to three days before issuing their report to the Commandant for approval. After the Panel adjourns and reports out, we do not discuss their deliberations...similar to all board deliberation, it is confidential.

When the Panel's assignment recommendations are approved by the Commandant, an ALCGPSC message is released detailing the results.

Retire In Lieu of Orders

Once the ALCGPSC assignment message is released, the 5-day Retirement in Lieu of Orders (RILO) period begins. RILOs are undesired outcomes for all parties, but it is important to understand the applicable parameters.

- All RILOs must take place NLT 1 August 2014. You can ask to retire earlier if desired.
- If you have 20 years of service, have no obligated service requirements, and prefer to retire instead of accepting orders, your request will normally be granted.
- If you are a Captain-select, eligible to retire, and request to retire in lieu of orders, you must also ask to voluntarily have your name removed from the Captain Promotion list.
- Our personnel regulations require all officers to serve in grade for two years prior to retiring. If your two years of obligated service has not been fulfilled by the date you request retirement (1 August or earlier) or if you have other obligated service (Post-911 GI Bill, advanced

education pay-back, OCONUS transfer, tuition assistance, etc.), you will not be eligible to RILO.

- If you prefer a retirement date later than 1 August, then you need to submit your voluntary retirement (VOLRET) request in time for us to act on it prior to the Panel. Submitting your VOLRET prior to 15 November (before 1 Oct is preferred) will allow us the time we need to shop and fill your billet during the assignment season.

Post-RILO

OPM will address any vacancies introduced by RILOs with the intent of minimizing changes to the overall slate approved by the Commandant while finding suitable solutions for all positions. Those officers who are reassigned during the post-RILO session are also afforded a 5-day RILO period.

PCS Orders

We will issue new PCS orders by the end of January 2014.

As a reminder, any officer who is reassigned to a new permanent duty station by the Captain Assignment Panel, and who takes no action during the RILO period, is required to execute orders and serve at the new permanent duty station for at least one year (two years for some OCONUS billets). This includes extensions and no cost moves.

Off –Season Assignments

Although the vast majority of Captain assignments are handled through the Panel process described above, each year circumstances arise which require off-season transfer decisions not considered by a Panel.

When we become aware of a potential off-season vacancy, we advertise the billet in an ALCGOFF message, along with any other billets that stand a good chance of opening as part of a daisy chain. We consider officers who respond to the solicitation; along with others we might have identified who also have the right seniority, skills and experience. We consider Flag officer/SES input, current command endorsements, and our ability to minimize a chain reaction of assignments.

Off-season O-6 assignments are approved by Commander, Coast Guard Personnel Service Center.

Off-Season Retirements

Off-season Captain retirements cause significant churn and impact unit and Service readiness. The key consideration for off-season retirement requests is our ability to backfill the retiring officer's billet. There are usually no easy backfill options when a vacancy occurs outside the annual assignment process. Requests for retirement by non-tour complete officers made outside of the assignment season timelines will likely be disapproved.

For non-tour complete officers, submitting your retirement request prior to 15 November (1 Oct is preferred) will allow us the time we need to shop and fill your billet during the assignment season.

Per current policy, officers may submit a request for retirement a minimum of six months and no more than 24 months in advance of the

desired separation date. Separation dates of 1 May through 1 September are within the reasonable parameters to afford commands a minimal gap. Earlier requests typically will result in an extended gap, and later requests double encumber the billet.

We strongly recommend you plan your retirement to coincide with the assignment season so that we have the best opportunity to approve your desired date and backfill your billet.

Conclusion

We hope you find this information useful in understanding the O-6 Assignment process. We recognize how important the outcomes of assignment decisions are to each individual and to the Service. We also hope our messages, voice mail, and portal sites, as well as personal contact, will keep you well informed as we seek to meet Service need by balancing the needs of the unit and your individual needs.

We look forward to working with you to find the next great assignment opportunity in your Coast Guard career.

CAPT (or CAPT(s)) First I. Last
YG 19XX (DOR MMM YY)
Employee ID #

Current Assignment (*FORMAT: Unit, Position, Date Reported (MMM YY)*)
(*Example*)

USCGC MELLON, Commanding Officer, Jul 06

Assignment History (*for all commissioned time starting with most recent*)
(*MMM YY – MMM YY Unit, Position, rank*)

(*Examples*)

Jun 03 – Jun 06 G-OCU, Assistant Chief, Office of Cutter Forces, CDR

Aug 02 – May 03 ICAF, Duty Under Instruction, LCDR

Educational Summary (*starting with most recent*)
(*YYYY Institution, Degree or Certificate, Cumulative GPA*)

(*Examples*)

2003 ICAF, Masters of Science in National Resources Strategy

1998 USCGA, BS in Mathematical Science, 2.4 Cumulative GPA

Military Personal Awards and Significant National Recognition or Achievement
(*Examples*)

LOM, MSM (2), COM (2), ACH

1999, Excellence in Government Fellow

1996, CG Witherspoon Inspirational Leadership Award Recipient

1995, CG Comptroller of the Year

1994, CG Jarvis Award Recipient

Significant Current Professional Credentials or Recent Activities
(*Examples*)

Merchant Mariner License, Unlimited Master

Professional Civil Engineer License, State of Florida

Published, "The Coast Guard at War," USNI Proceedings, May 2003

Vice President, Alameda CG Officers Association

Member, Society of American Military Engineers

Level I Acquisition Certification: Test & Evaluation