

U.S. Department of
Homeland Security

United States
Coast Guard



Officer Accessions, Evaluations, and Promotions

COMDTINST M1000.3
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Commandant
United States Coast Guard

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COMMANDANT INSTRUCTION M1000.3

Subj: OFFICER ACCESSIONS, EVALUATIONS, AND PROMOTIONS

- Ref:
- (a) Coast Guard Recruiting Manual, COMDTINST M1100.2 (series)
 - (b) Coast Guard Medical Manual, COMDTINST M6000.1 (series)
 - (c) Military Separations, COMDTINST M1000.4 (series)
 - (d) Manual for Courts-Martial (series)
 - (e) Coast Guard Investigations Manual, COMDTINST M5527.1 (series)
 - (f) Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series)
 - (g) Coast Guard Pay Manual, COMDTINST M7220.29 (series)
 - (h) Schedule of Advice Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series)
 - (i) Enlisted Accessions, Evaluations, and Advancements, COMDTINST M1000.2 (series)
 - (j) Performance, Training and Education Manual, COMDTINST M1500.10 (series)
 - (k) Personnel Security and Suitability Program, COMDTINST M5520.12 (series)
 - (l) Coast Guard Air Operations Manual, COMDTINST M3710.1 (series)
 - (m) Uniform Regulations, COMDTINST M1020.6 (series)
 - (n) Coast Guard Diving Policies and Procedures Manual, Volume 1, COMDTINST M3150.1 (series)
 - (o) Marine Safety Manual, Volume I, Administration and Management, COMDTINST M16000.6 (series)
 - (p) Military Assignments and Authorized Absence, COMDTINST M1000.8 (series)
 - (q) Discipline and Conduct, COMDTINST M1600.2 (series)
 - (r) Information and Life Cycle Management Manual, COMDTINST M5212.12 (series)

1. PURPOSE. This Manual establishes Coast Guard policy and procedures concerning the accessions, evaluations, personnel boards, and promotions for the Coast Guard officer corps.

DISTRIBUTION – SDL No. 159

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NON-STANDARD DISTRIBUTION:

2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. The following chapters of the Personnel Manual, COMDTINST M1000.6 (series) are hereby cancelled: Chapters 1, 2, 5, 6, 10 and 14. The Coast Guard Personnel Manual is being eliminated and reissued as a set of manuals (including this one) which will allow for more expedited review of updates and promulgation of policy changes.
4. DISCLAIMER. This document is intended to provide operational requirements for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.
5. PROCEDURES. No paper distribution will be made of this Manual. Official distribution will be via the Coast Guard Directives (CGDS) DVD. An electronic version will be located on the following Commandant (CG-612) web sites. Intranet: <http://cgweb.comdt.uscg.mil/CGDirectives/Welcome.htm>, Internet: <http://www.uscg.mil/directives/>, and CGPortal: <http://cgportal.uscg.mil/delivery/Satellite/CG612>.
6. BACKGROUND. This Manual promulgates policy for officer accessions, promotions, evaluations, and selection, appointment, and designation boards. These policies were previously contained in Chapters 1, 2, 5, 6, 10, and 14 of the Coast Guard Personnel Manual, COMDTINST M1000.6 (series). References to commands and Headquarters offices have been updated to reflect the current Coast Guard organizational structure. Changes to policy in previously issued ALCOAST messages have been incorporated as well as legislatively mandated changes. References to other elements of the legacy Personnel Manual have been updated to reflect the newly promulgated Manuals.
7. DISCUSSION. Citation of the word 'article' as used in this Manual is in general terms of reference, e.g. to denote paragraph or section, and is not citing CFR, USC, UCMJ, etc except where so noted.
8. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been evaluated for potential records management impacts. The development of this Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
9. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
 - a. The development of this Manual and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Manual contains guidance on, and

provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.

- b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.

10. FORMS/REPORTS. The forms referenced in this Manual with the exception of the Command Ashore Certificate, Form CG-5257, are available in USCG Electronic Forms on the Standard Workstation or on the Internet: <http://www.uscg.mil/forms/>; CG Portal at <https://cgportal.uscg.mil/delivery/Satellite/uscg/References>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>. The Command Ashore Certificate, Form CG-5257, and Finger Print Card, Form FD-258, must be ordered through Surface Force Logistics Center (formerly ELC) using stock numbers 7530-01-GF2-9090 and 7530-00-F01-9400 respectively.

R. T. HEWITT /s/
Assistant Commandant for Human Resources

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CHAPTER 1 PROCUREMENTS AND APPOINTMENTS

1.A. Appointing Regular Commissioned Officers

1.A.1. General

- a. Presidential Appointment. The President may appoint permanent commissioned Regular Coast Guard officers in the grades of ensign and above according to their qualifications, experience, and length of service as Service needs require from these categories:
 - (1) Coast Guard Academy graduates.
 - (2) Regular Coast Guard chief warrant officers and enlisted members.
 - (3) Coast Guard Reserve members who have served at least two years.
 - (4) Licensed United States Merchant Marine officers who have served two or more years aboard a United States vessel as a licensed officer.
 - b. Fitness to Perform. No person can serve as a commissioned officer until his or her mental, moral, physical, and professional fitness to perform the duties of a commissioned officer has been established under regulations the Secretary prescribes (14 U.S.C. § 211).
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1.A.2 Statutory Authority to Appoint U. S. Coast Guard Academy Graduates

The President may appoint as Coast Guard ensigns all cadets who have graduated from the Academy (14 U.S.C. § 185).

1.A.3. Statutory Authority to Appoint Temporary Officers

1.A.3.a. Presidential Appointment

The President may appoint Coast Guard chief warrant officers, enlisted members, and United States Merchant Marine licensed officers as temporary commissioned Regular Coast Guard officers in a grade up to lieutenant according to their qualifications, experience, and length of service as Service needs require.

1.A.3.b. Effect on Permanent Status

Appointment under this Article does not change these temporary officers' permanent, probationary, or acting status; prejudice their promotion or appointment opportunities; or abridge their rights or benefits. A temporary officer may not lose any rightful pay and allowances due to his or her permanent status when appointed.

1.A.3.c. Vacating an Appointment

A temporary commissioned officer may request to vacate his or her temporary appointment at any time, as needs of the service permit. Requests for reversion, along with command endorsement, should be submitted in memo format to Commander (CG PSC-OPM-1). If an officer's appointment is so vacated, he or she reverts to his or her permanent status (14 U.S.C. § 214).

1.A.4. Appointing Officer Candidate School Graduates

1.A.4.a. Qualifications for Appointment as Temporary Officers

Chief warrant officers and enlisted members who meet the requirements of Article 1.B.5. of this Manual who are selected as candidates for a temporary Regular commission and then successfully complete Officer Candidate School (OCS) may be appointed temporary Regular commissioned officers. Chief warrant officers may be appointed to the grade of lieutenant (junior grade), and enlisted members may be appointed to the grade of ensign. Upon OCS graduation and original appointment as temporary Regular commissioned officers, such officers incur a three-year active duty commissioned service obligation.

1.A.4.b. Permanent Appointment

(1) General. Enlisted members and chief warrant officers commissioned as temporary officers after OCS graduation perform duties and enjoy the privileges of Regular commissioned officers. They serve in a probationary period of about four years to ensure a fair, accurate appraisal of their capabilities over two or more types of duty. Probation expires about the time they are considered for promotion to lieutenant, and selection under the "best qualified" system amply indicates their qualification for permanent status. Therefore, their dual status as enlisted or chief warrant officer OCS graduates and temporary officers terminates when they are integrated as permanent officers.

(2) Procedure.

(a) PSC Notification. Temporary Regular lieutenants (junior grade) selected for promotion to the next higher grade will be contacted by Commander (CG PSC-OPM-1) as outlined in Article 1.A.8.c. of this Manual.

(b) Discharge of Temporary Officers. Temporary officers accepting permanent appointment shall be discharged from their permanent (chief warrant officer or enlisted) status as outlined in Article 3.A.11. of this Manual.

(c) Declining Permanent Appointment. Any temporary officer who declines a permanent appointment shall send a memo to Commander (CG PSC-OPM) declining the appointment. The Commandant then makes one of the determinations listed below. To enable the Commandant to do so, it is extremely

important to send a full, complete report containing a detailed explanation of the member's reason(s) for declining permanent status.

[1] The officer's temporary appointment shall be vacated. The officer will revert to his or her permanent (chief warrant officer or enlisted) status and be separated.

[2] The officer's temporary appointment shall be vacated. The officer will revert to his or her permanent (chief warrant officer or enlisted) status and remain on active duty.

[3] The officer remains on active duty in his or her temporary commissioned status.

1.A.5. Appointing Licensed U. S. Merchant Marine Officers

Licensed U. S. Merchant Marine officers may be appointed to U. S. Coast Guard commissioned grades appropriate to their qualifications and experience. See reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series), for general requirements, grade requirements, and application procedures.

1.A.6. Appointing the Coast Guard Band Director

1.A.6.a. Secretary of Homeland Security Designation

Under the authority of 14 U.S.C. § 336, the Secretary designates the U. S. Coast Guard Band Director from among a pool of candidates who possess the necessary qualifications. Then, by and with the Senate's advice and consent, the President appoints that member to a Regular Coast Guard commissioned grade.

1.A.6.b. Initial Appointment

The Band Director's initial appointment is to the commissioned grade of lieutenant (junior grade) or lieutenant.

1.A.6.c. Promotion to the Next Higher Grade

A member designated and commissioned under this Article is not included on the Active Duty Promotion List. The Commandant prescribes the regulations governing the Band Director's promotion, however, the grade of the director may not be higher than Captain. (See Article 3.A.9. of this Manual.)

1.A.6.d. General Requirements

Each applicant must:

- (1) Be a United States citizen.
- (2) Be of good moral character.
- (3) Be a Coast Guard member.
- (4) Meet the physical standards for commissioning listed in reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), Section 3-C.
- (5) Be a versatile musician.
- (6) Have six years of professional musical experience. Military or civilian musical experience may be combined with college-level musical education to meet this requirement.
- (7) Possess the leadership and professional qualities expected of a Coast Guard officer.
- (8) Be able to fulfill time in grade and commission requirements for retirement before mandatory retirement age.

1.A.6.e. Application Procedures

When the Coast Guard solicits for the position of Band Director, interested persons should submit applications to Commander (CG PSC-OPM). The following completed forms and documents constitute the application file.

- (1) Questionnaire for National Security Positions, SF-86.
- (2) Optional recommendation letters.
- (3) For enlisted members: commanding officer's endorsement, including the average Proficiency, Leadership, and Conduct marks for the 12-month period ending 30 June 1983, the average factor marks after 30 June 1983, the latest set of factor marks awarded, and other Personnel Data Record (PDR) information of interest to the board.
- (4) Record of satisfactory service or discharge from other military service (if any).
- (5) Transcript of scholastic record.
- (6) Comprehensive resume of personal, professional, and military history and experience, giving specific attention to musical education and experience.

1.A.6.f. Selections

- (1) PSC Selection Panel. On receiving the applications, Commander (CG PSC-OPM) convenes a selection panel to evaluate all qualified applicants. The panel shall consist

of a captain as senior member, the incumbent Band Director, if available, and three additional officers (lieutenants or higher). To provide supplementary expertise, another Service's Band Director may replace one of the additional members. Except for the latter, all board members must be Regular Coast Guard officers, with at least one from Commandant (CG-092). Commander (CG PSC-OPM) may name other appropriate panel members.

- (2) Selection Panel Actions. Convening at the Coast Guard Band location, the selection panel acts as follows:
- (a) Evaluates each applicant's professional qualifications, personal characteristics, and other pertinent data.
 - (b) Interviews each applicant to assess personal attributes that must necessarily complement technical qualifications for service as a commissioned Coast Guard officer. For this unique position, the selection panel should focus on the applicant's potential for leadership and management.
 - (c) Rates each applicant's performance in a 15-minute audition, during which he or she will conduct the Coast Guard Band in a program he or she prepares. Each applicant will have 30 minutes to rehearse.
 - (d) Evaluates each applicant's performance in rehearsing the band with unfamiliar music as designated by panel members with musical expertise.
 - (e) Nominates in order of preference those applicants considered qualified in all respects for appointment and fully capable of discharging the duties of the Coast Guard Band Director, noting in the record whether qualified and recommended for lieutenant or lieutenant (junior grade).
-

1.A.7. Appointing Physician Assistants

1.A.7.a. General

- (1) Physician Opportunities. To effectively attract and retain qualified physician assistants with education and skills comparable to those in the other Uniformed Services, the Coast Guard must offer our physician assistant's military rank, responsibility, advanced professional training, and career opportunities commensurate with other Services.
- (2) Commissioning and Service Obligation. On completing the prescribed medical training, active duty members normally are commissioned as temporary Regular officers in the grade of ensign. These officers incur an active duty obligation of three years of service for each year of training.
- (3) Training Requirement. On commissioning, all active duty physician assistants attend

the next available direct commission officer indoctrination course.

1.A.7.b. Integration

- (1) Selection for Integration. Officers selected for promotion by an Active Duty Promotion List best-qualified promotion board will be offered integration under the provisions of Article 1.A.8. of this Manual.
 - (2) Certification Requirements. To maintain a high level of professional qualification, physician assistants must attain professional certification from the National Commission on Certification of Physician Assistants during their first two years of commissioned service. Articles 1.A.11. and 1.A.14. of reference (c), Military Separations, COMDTINST M1000.4 (series) contain provisions to vacate the appointments of temporary commissioned officers and separate regular officers who fail to attain or subsequently maintain this certification.
-

1.A.8. Integrating Reserve and Temporary Regular Officers

1.A.8.a. General

- (1) General. When Reserve officers, except Reserve Program Administrators, remain on active duty for an extended period to meet routine Service needs, they lose identification as trained officers held in reserve for an emergency. Similarly, temporary Regular officers, except chief warrant officers appointed as temporary lieutenants, hold a probationary commission for three years while retaining permanent status as enlisted members or warrant officers. Once an Active Duty Promotion List (ADPL) best-qualified promotion board selects Reserve and temporary Regular officers, the Service expects them to possess the potential and skills for long-term active service and they become eligible to integrate as permanent Regular officers.
 - (a) Maximum Active Duty Service Upon Integration. Integrating to Permanent Regular officer status allows a member to remain on active duty for up to 30 years commissioned service (as opposed to 30 years active service) unless:
 - [1] They are twice non-selected by a future promotion board,
 - [2] They reach age 62 prior to completing 30 years commissioned service, or
 - [3] They are separated under some other provision of law.
 - (b) Eligibility to Revert. Once a Temporary officer is integrated, they no longer hold a temporary commission and therefore lose the option to revert back to a previously held CWO or enlisted status.
- (2) Integration Policy. The integration policy for Reserve officers and temporary Regular

officers is as follows:

- (a) Integration Mandatory. Reserve and temporary Regular officers appointed from OCS and Direct Commission Reserve officers, who have been selected by a best-qualified ADPL promotion board, must integrate as permanent Regular officers.
- (b) Integration Not Mandatory. Temporary Regular officers who receive their commission either through the CWO to LT program, a Direct Commission Officer (DCO) program, or the Physician's Assistant (PA) program, have the option to integrate upon selection by a best-qualified ADPL promotion board in their temporary status. For temporary LTs who are permanent CWOs, this does not include selection by an ADPL CWO promotion board. If they do not accept integration, that option will not be available again until they are selected by their next best-qualified ADPL promotion board.
- (3) Notifying PSC of Disqualifying Actions. Notwithstanding any procedure outlined below, between the time the officer is selected by a best-qualified ADPL promotion board and the administration of the oath of office for permanent Regular appointment, Commander (CG PSC-OPM) must be advised of any action that would disqualify an applicant for integration.

1.A.8.b. Integration Requirements

To qualify for integration, a Reserve or temporary Regular officer must meet these integration requirements. Normally, no waivers will be granted. The officer must:

- (1) Comply with the Service's maximum allowable weight standards at the time of the administration of the oath of office for integration.
- (2) At the time of the administration of the oath of office for integration, not be subject of or party to a pending investigation which could result in adverse action against the officer, nor accused pending proceedings under the Uniform Code of Military Justice, nor the subject of a pending administrative board for possible separation.
- (3) Have completed two years' continuous active Coast Guard duty (as of 1 March following selection by the best-qualified promotion board) during the current active duty period.
- (4) Have been selected for promotion by any ADPL board under the best-qualified selection system.

1.A.8.c. Integration Process

- (1) Commander (CG PSC) Responsibility. Once a Reserve or temporary Regular officer has been selected by their first best-qualified ADPL selection board as discussed above:

- (a) Request for Appointment Authority. Correspondence requesting appointment authority and Senate confirmation of all officers eligible for permanent status as permanent Regular officers will be initiated by Commander (CG PSC); and,
 - (b) Notification of Eligibility to Integrate. A general message will be released advising the officers of their eligibility to integrate. The message will stipulate that officers who are required to integrate but elect not to must notify Commander (CG PSC-OPM) of their intention and these officers should expect release from active commissioned service in accordance with Article 1.A.9. of this Manual.
 - (c) Records Review. After receiving appointment authority and Senate confirmation, Commander (CG PSC-OPM) will conduct an internal records review of materials received about the officers to confirm they have not disqualified themselves since selection for promotion. If record material casting doubt on an officer's qualifications for permanent status is received, Commander (CG PSC-OPM) will convene a special panel to evaluate the officer for continued service.
 - (d) Appointment Letter. Once the review is complete, an appointment letter will be mailed to eligible officers via their immediate chain of command. It will direct the command to administer the oath of office.
- (2) Commanding Officer Responsibility.
- (a) Confirm Eligibility. Before administering the oath of office, commanding officers shall confirm that the officer still meets the requirements of Articles 1.A.8.b.(1) and 1.A.8.b.(2) of this Manual.
 - (b) Actions upon Non-Integration of Officer. If an officer fails to meet the requirements above, or the command determines that the officer does not possess the qualities of a permanent regular officer, or the officer has elected not to integrate, the command will notify Commander (CG PSC-OPM) with an explanation. Further action will be guided by the provisions of Articles 1.A.9. or 1.A.14. of Military Separations, COMDTINST M1000.4 (series), as applicable.

1.A.8.d. Appointment Process

Article 3.A.11. of this Manual outlines the procedures to appoint Reserve and temporary Regular officers selected for integration as permanent Regular commissioned officers.

1.A.8.e. Security Investigation

If the officer has satisfactorily completed a National Agency Check during his or her current tour of active duty, one is not required for integration.

1.A.9. Processing Officers Who Do Not Integrate

| Reason | Reserve Officers | Temporary Regular Officers |
|--|--|--|
| Officers required to integrate who decline appointment as permanent regular officers | The Service releases Reserve officers from active duty effective the date their extended active duty agreement or other obligated service expires, as needs of the Service allow. This includes officers who receive their appointment from OCS and direct commission Reserve officers. | With the exception of officers who received their appointment from OCS, they remain on active duty in their Temporary officer status unless separated or integrated at a later date. Officers who received an appointment from OCS are released from active duty six months after they receive notification to integrate. |
| Failure of selection for promotion on a best-qualified basis the first time | They may apply for an extension in accordance with Article 1.B.2.d. of this Manual which will make them eligible to be seen a second time by the best-qualified promotion board. | They are eligible to be seen a second time by a best-qualified promotion board. |
| Subject of, or a party to, a pending investigation, accused pending UCMJ proceedings, or the subject of a pending administrative board for possible separation | If they request, the Service may grant these officers an administrative extension for up to one year while awaiting the outcome of the pending proceeding, unless previous contractual or obligated service so provides. After the pending action is final, unless otherwise separated, these officers may (EAD officers)/will (all others) (see Article 1.A.8.a. of this Manual) request to integrate if selected by their next best-qualified promotion board. In determining whether proceedings of pending actions are final, the Service uses the controlling directives governing the proceeding (for example, reference (d), Manual for Courts-Martial (MCM), for UCMJ proceedings, reference (e), Coast Guard Investigations Manual, COMDTINST M5527.1 (series), for administrative investigations). | They retain their temporary commissioned status while awaiting the outcome of the pending proceeding. After the pending action is final, unless otherwise separated, they may integrate if selected by their next best-qualified promotion board. In determining whether proceedings of pending actions are final, the Service uses the controlling directives governing the proceeding (for example, reference (d), Manual for Courts-Martial (MCM), for UCMJ proceedings, reference (e), Coast Guard Investigations Manual, COMDTINST M5527.1 (series) for administrative investigations). |

| Reason (cont) | Reserve Officers | Temporary Regular Officers |
|----------------------------------|--|--|
| Failure to meet weight standards | They may request an administrative extension until the end of the weight loss probationary period unless previous contractual or other obligated service so provides. Administrative procedures for failure to maintain weight standards are addressed in reference (f), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series). | They retain their temporary commissioned status until the end of their weight loss probationary period. Administrative procedures for failure to maintain weight standards are addressed in reference (f), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series). |

1.A.10. Recalling Retired Regular Officers

1.A.10.a. General

If Service needs require, the Commandant may recall a retired Regular officer to active duty for a specified time in accordance with Articles 1.A.10.b. and 1.A.10.c. below.

1.A.10.b. In War or National Emergency

In time of war or national emergency, the Commandant may order any Regular officer on the retired list to active duty (14 USC § 331).

1.A.10.c. Recall with Officer’s Consent

- (1) Assignment of Retired Regular Officers. The Service may assign any retired Regular officer, with his or her consent, to duties he or she is able to perform (14 U.S.C. § 332(a)).
- (2) Maximum Allowance of Retired Regular Officers. The number of retired lieutenant commanders, commanders, or captains on active duty shall not exceed two percent of the authorized number of officers on active duty in each grade. This limit does not apply to retired officers in these grades recalled to serve as members of courts, boards, panels, surveys, or special projects for periods as long as one year (14 U.S.C. § 332(b)).
- (3) Retired Recall Application. The following application procedures will be followed:
 - (a) Letter Request. Officers desiring recall to active duty from retirement should apply by submitting a letter to Commander (CG PSC-OPM-1) via their current commanding officer or directorate if on active duty, or directly to Commander

(CG PSC-OPM-1) if already retired. The request will constitute consent to recall.

- (b) Letter Contents. The letter request should specify:
- [1] The duration of the recall agreement desired,
 - [2] The desired date recall should commence,
 - [3] Whether they are available for worldwide assignment. If not, indicate the specific assignment criteria desired (whether a specific unit, geographic area or job position number),
 - [4] Other useful information or a resume describing such things as qualifications and experience which may meet a Service need, and
 - [5] Contact information including mailing address, e-mail address and daytime telephone number.
- (c) Commanding Officer Recommendation. If an officer is on active duty when they apply, the commanding officer's endorsement should provide a specific recommendation concerning how this officer's recall will meet a Service need and why the recall is in the best interest of the Service.
- (d) Promotion of Retired Officers. Retired officers recalled to active duty are not normally authorized for promotion to the next higher grade except as outlined in Article 3.A.8.a. of this Manual.
- (e) Physical Examination. An approved physical examination is required per reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), Article 3.A.7.g prior to executing orders for recall to active duty.
- (f) Requests for Early Release from Retired Recall Status. The decision to be recalled to active duty is a serious one as it affects assignment actions which, if reversed, could cause hardship to other officers. Officers accepting recall to active duty incur obligated service for the period of the agreement and should expect to fulfill that service. A hardship arising after a recall agreement has begun which causes an officer to request early release from their agreement will be evaluated on their individual merit.
- (g) Performing Temporary Duty (TDY) in a Retired Recall Status. Personnel in a retired recall status shall not be sent to other commands TDY for longer than five business days without permission from Commander (CG PSC-OPM). The following exceptions apply:
- [1] TDY for training required for the current billet,

[2] TDY that is a normal aspect of the current billet (training teams, inspectors, etc.), and

[3] TDY related to the attendance of professional seminars.

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

1.A.11.a. General

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

1.A.11.b. Appointment

- (1) Placement on the ADPL and Constructed Date of Rank of Lieutenant (Junior Grade) or Above. Commissioned officers placed on the TDRL in the grade of lieutenant (junior grade) or above not previously selected to the next higher grade and later found fit for duty shall be re-appointed to the same grade they last held on active duty. These officers are assigned a new date of rank on the Active Duty Promotion List (ADPL) which reflects a loss of one month's seniority in their original date of rank for each month served on the TDRL.
- (2) Placement on the ADPL and Constructed Date of Rank of Ensigns. Commissioned officers placed on the TDRL in the grade of ensign not previously selected for lieutenant (junior grade) and subsequently found fit for duty shall be reappointed as ensigns. They will be assigned a new ADPL date of rank reflecting one month's loss of seniority in their original date of rank for each month served on the TDRL. A panel of officers shall consider promoting to lieutenant (junior grade) ensigns whose contemporaries have been considered on a fully-qualified basis for promotion. If that panel selects those ensigns for lieutenant (junior grade), their date of rank is the date they transfer from the TDRL; however, that date cannot be earlier than the date of rank which would have occurred had they remained on continuous active duty.
- (3) Placement on the ADPL and Constructed Date of Rank of Chief Warrant Officers. Chief warrant officers placed on the TDRL not previously selected to the next higher grade and subsequently found fit for duty shall be reappointed to that same grade. They shall be assigned a new date of rank which reflects one month's loss of seniority in their original date of rank for each month they served on the TDRL.
- (4) Commissioned officers and chief warrant officers on a list of selectees for promotion to the next higher grade when placed on the TDRL and whose promotion date has passed when they return to active duty shall be assigned a date of rank as of the date

they return. If they return to active duty before their promotion date, they shall be re-appointed to that grade with the date of rank they last held on active duty and promoted on schedule.

- (5) Regular commissioned officers and chief warrant officers placed on the TDRL in a grade higher than the grade last held on active duty shall be re-appointed to the permanent grade they last held on active duty or, in the discretion of the Commandant, to the next higher permanent grade. (See 10 U.S.C. § 1211.)
 - (6) Regular temporary commissioned officers placed on the TDRL in a higher temporary grade shall be re-appointed to the permanent grade they last held on active duty or, in the discretion of the Commandant, to the next higher permanent grade. Re-appointment to the higher temporary grade last held on active duty will be based on needs of the Service, as authorized by the President. (See 14 U.S.C. § 214.)
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1.A.12. Security Investigations for Officers' Original Appointment

1.A.12.a. Academy Cadets

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

1.A.12.b. Merchant Marine Officers

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

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

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

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

1.B. Reserve Officers on Extended Active Duty

1.B.1. Initial Active Duty and Recall to Active Duty

1.B.1.a. Officer Candidate School Graduates

Officer Candidate School (OCS) graduates appointed as ensigns in the Coast Guard Reserve serve an initial active duty period of three years.

1.B.1.b. Direct Commission Officers

Reserve officers who receive direct commissions for an active duty program serve an initial active duty period as agreed on in the active duty agreement.

1.B.1.c. Recalling Reserve Officers to Extended Active Duty

(1) Qualifications for Recall. With their consent and as its needs require, the Service occasionally recalls to extended active duty inactive duty Reserve officers who meet these qualifications:

- (a) They possess unique skills and abilities or professional qualifications in areas where there is a definite Service need,
- (b) They are in grades up to lieutenant, and
- (c) They have fewer than 11 years total active service or if they have no previous active service, fewer than 11 years commissioned service as a Reserve officer. Waivers for commissioned service length can be approved by Commander (CG PSC-OPM) on a case-by-case basis for officers needed to fill critical skill set vacancies (e.g., CG Aviators). EAD contract durations will be determined by Commander (CG PSC-OPM).

(2) Actions upon Approval of Recall. If the Service approves a recall request, Commander (CG PSC-OPM-1) issues orders recalling the Reserve officer to extended active duty for at least one to a maximum of five years. Commander (CG PSC-OPM) determines the length of the recall based on the Service's and the officer's needs. When practical, the active duty will last long enough to involve the officer in at least one Active Duty Promotion List (ADPL) selection board.

1.B.2. Retention on Extended Active Duty

1.B.2.a. General

Reserve officers presently serving on initial active duty periods or fulfilling active duty agreements may request new active duty agreements or extensions of their contracts. See Article 1.B.2.e. of this Manual.

1.B.2.b. Authority

To provide terms of active duty (other than for training) for Reserves with their consent, 10 U.S.C. § 12311 authorizes the Secretary to enter into a written, renewable agreement with any Reserve member to serve on active duty (other than for training) for at least one and at most five years. The Secretary has delegated this authority to the Commandant under 49 CFR 1.45. In addition, the officer and Coast Guard jointly may agree to extend an active duty agreement written for less than five years for periods of up to 12 months.

1.B.2.c. Delegating Authority

The Commandant must approve agreements. This authority to agree in writing on active duty periods with Reserve members under the conditions in this Article is hereby redelegated to district commanders, commanders of logistics/service centers, chiefs of staff, Commander (CG PSC-OPM), chiefs of personnel divisions, assistant commandants for directorates, OCS School Chief, and commanding officers. This authority may not be delegated. Commander (CG PSC-OPM-1) will furnish agreement forms for each Reserve officer selected for recall to or retention on active duty. See Article 1.B.2.h. of this Manual.

1.B.2.d. Reserve Officer Retention Standards

- (1) Extending Active Duty Agreements. Commander (CG PSC) may extend current active duty agreements or grant new ones so an officer has sufficient time to complete the requirements to integrate into the Regular Coast Guard or satisfy Service needs.
- (2) Successive Active Duty Agreements. In special cases if Service needs require, the Commandant may allow Reserve officers to continue under successive active duty agreements until they complete up to 11 years' total active service.
- (3) Duration of Extension of Active Duty Agreement. Commander (CG PSC) will not extend a contract for fewer than 12 months except in unusual circumstances or if the Service urgently needs the officer's services. If reassigned to another unit, the officer normally must enter a new active duty agreement to cover a full-length tour at the new unit. Commander (CG PSC-OPM-1) may grant interim extensions while official action is pending on either integration into the Regular Coast Guard or requests for new active duty agreements.
- (4) Extension of Active Duty Contract after Failed Selection for Promotion. Reserve officers who have once failed selection for promotion may request an extension on active duty. If granted, this extension terminates by the end of the promotion year when a second board will consider the officer for promotion.
- (5) Ineligible for Promotion or Retention on Active Duty. Reserve officers with fewer than 18 years active duty service who twice fail selection for promotion to a given grade are ineligible for further promotion or retention on active duty. The Service

discharges or releases them from active duty at the end of the promotion year in which the second failure occurs or when they complete their current Active Duty Agreement, whichever is earlier. The Service considers these separations involuntary. Reserve officers with 18 or more years active duty service may remain on active duty until they complete 20 years of service. Extensions beyond 20 years active duty service may be considered based on needs of the Service.

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

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

Reserve officers serving initial active duty periods or fulfilling active duty agreements may apply to remain on active duty. Amplifying guidance will be released by Commander (CG PSC-OPM) via an ALCGPSC message.

1.B.2.f. Selection

- (1) Board Actions. Boards normally meet in January and July to recommend Reserve officers for new active duty agreements or extensions of their current agreements. Special boards may be convened occasionally to meet Service needs. The boards normally recommend officers they consider best-qualified for retention on active duty. As Service needs dictate, boards may be convened on a fully-qualified basis or not at all. If no board is convened, Commander (CG PSC-OPM) will consider all extensions and requests for new agreements. When a board is convened to consider officers on a fully-qualified basis, the board shall apply the procedures delineated in Article 6.A.5. of this Manual, with the following exception: In developing the fully qualified standards, the records of officers who hold the same grade as the applicant shall be used. The board's focus should be on reviewing the records for retention of the officers in the current grade, not for promotion purposes.
- (2) Board Considerations. The board considers each officer for retention based on the officer's performance record, special qualifications, educational accomplishments, potential for future development as a Regular officer, command endorsement, and Service needs.
- (3) Release of Officers Not Selected for Retention. The Service releases to inactive duty on their scheduled release date those officers whose agreements expire or whose requests for retention have not been approved.

1.B.2.g. Active Duty Agreements

- (1) Deadline for Submission of Active Duty Agreement. Officers selected for retention must return active duty agreements to Commander (CG PSC-OPM-1) within five working days after receipt, unless Commander (CG PSC-OPM-1) specifically

approved a delay of return.

- (2) Actions for Officers Not Desiring to Execute the Active Duty Agreement. Officers who do not desire to execute the agreement shall endorse the memo declining appointment per Article 1.A.4.b.2.(c) of this Manual to that effect and return it to Commander (CG PSC-OPM-1) within five working days of receipt. The officer will be RELAD no later than when their agreement expires.

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

- (1) Officer Signature. The Reserve officer desiring retention or recall to active duty is the “officer” and signs all copies of the agreement in the space provided in the presence of one or more witnesses.
- (2) Witness Signature. When practical, two officers or petty officers will witness the officer’s signature and sign all copies of the agreement in the space provided.
- (3) Authorized Agent Signature. The officers delegated in Article 1.B.2.c. of this Manual to accept the agreement for the Coast Guard signs all copies in the space provided for the authorized agent’s signature.
- (4) Reserve Active Duty Agreement. If the Reserve officer entering the active duty agreement is the only active duty Coast Guard officer present in the area, he or she may sign as the officer. The two witnesses’ signatures must be accompanied by an address and current telephone number, one of which should be a notary. The Reserve officer sends the agreement to the appropriate “Authorized Agent” as defined in Article 1.B.2.c. of this Manual, for signature and acceptance of the agreement for the Coast Guard.

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

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

1.B.3. Appointing Reserve Program Administrators

1.B.3.a. General

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

- (2) Assignment of RPAs. RPAs are commissioned Coast Guard Reserve lieutenants (junior grade) or above assigned in such numbers, grades, and duty assignments in the Reserve program at Coast Guard Headquarters and other places as the Commandant occasionally may determine as necessary to fulfill the Coast Guard Reserve mission.
- (3) Number of RPAs. An appropriate mix of RPAs and ADPL officers is assigned to Reserve-funded billets as Service needs require, given that the number of RPAs authorized on active duty shall not exceed 75 percent of the Reserve-funded billets per Article 3.A.6.a. of this Manual. Some RPAs may serve in assignments outside Reserve Program to fulfill the intent of Article 1.B.3.b. of this Manual.

1.B.3.b. Assignment

RPAs serve on extended active duty in a special occupational field. However, they are required to have a wide knowledge of the Coast Guard to carry out their duties properly. RPAs are generally assigned to positions that require the preparation and administration of policies and regulations in order to effectively develop, train, instruct, and administer the Reserve component. These positions are coded as Full-Time Support (FTS). (10 U.S.C. § 10211, 12501) From time to time, RPAs may be assigned to any appropriate position depending on the needs of the Service, including postgraduate training.

1.B.3.c. Service Requirements

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

1.B.3.d. RPA Designation Board

Boards to recommend officers for designation as RPAs and provisional RPAs convene in accordance with Article 6.A. of this Manual and reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINT 1401.5 (series). Commander (CG PSC-RPM-1) solicits applications and announces the convening and application deadlines by message. This board may also consider reinstatement of RPAs per Article 1.B.3.e. of this Manual.

1.B.3.e. Applying for RPA Designation or Reinstatement

Members desiring designation as a provisional RPA and members seeking reinstatement following a temporary separation under Article 1.F. of reference (c), Military Separation, COMDTINST M1000.4 (series), shall submit an E-Resume as follows:

- (1) E-Resume. Submit E-Resume to Commander (CG PSC-RPM-1) through the chain of command. Members seeking reinstatement must include the following statement: "I

request reinstatement to RPA designation for (state reason). My temporary separation start date was _____.”

- (2) **Endorsement.** Officers in the chain of command shall state definitely whether the applicant has the potential to serve as an RPA, unless they have no personal knowledge of the applicant's performance of duties, which they shall so state. The applicant shall not solicit or submit as enclosures letters from officers not in the chain of command.
- (3) **Deadline.** Submit all applications in accordance with the Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).

1.B.3.f. Number Designated

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

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

- (1) All officers are initially designated as provisional RPAs.
- (2) ADPL regular officers must resign their Coast Guard commission and accept a commission in the Coast Guard Reserve; they then transfer to the RPA promotion list and immediately begin serving as provisional RPAs on extended active duty.
- (3) The selectees are recalled to extended active duty within 60 days of notification of selection.
- (4) Upon assignment to their first RPA position, Commander (CG PSC-OPM) shall assign the RPA competency to the member.
- (5) After selectees complete a two year probationary extended active duty as provisional RPAs, the next RPA appointment board considers them for designation as permanent status and removes the provisional RPA designation.
- (6) Each officer designated as a provisional RPA shall initiate a National Agency Check immediately upon their selection.

1.B.3.h. Withdrawing Designation

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

1.B.3.i. Removing RPA Designation

Once an officer has been assigned an RPA or provisional RPA designation, the Commandant may remove it for any of these reasons and release an officer so serving to inactive duty:

- (1) A board of officers convened for that purpose so recommends and the Commandant approves.
- (2) The first board to consider the provisional RPA officer does not select him or her for designation as RPA.
- (3) On the RPA's approved request.
- (4) On failure of selection for promotion on a fully qualified basis.
- (5) On termination of extended active duty.

1.B.3.j. Promoting Provisional RPAs

Provisional RPAs shall be selected for promotion and promoted in accordance with the regulations governing RPAs in Articles 3.A. and 6.A. of this Manual.

1.B.4. Reserve Program Administrator's Voluntary Transfer to ADPL

1.B.4.a. General

- (1) Requests for Transfer from RPA to ADPL. At his or her request and based on Service needs, an RPA serving as commander, lieutenant commander, or lieutenant for a minimum of three years as an RPA may have his or her RPA designation removed and transfer to the ADPL. The RPA must submit this request to Commander (CG PSC-OPM-1) by 01 March of the promotion year before the officer's running mate is projected to enter an ADPL promotion zone.
- (2) Active Duty Agreement Requirement. Reserve officers who transfer to the ADPL execute an active duty agreement for up to five years to enable them to be considered for selection to the next higher grade.

1.B.4.b. Integration

If an ADPL board selects a former RPA for commander or captain, that officer shall integrate. Those selected to lieutenant commander shall meet all requirements of Article 1.A.8. of this Manual to be eligible for integration.

1.B.4.c. Retirement or Release from Active Duty

Refer to Article 1.C.7. of reference (c), Military Separations, COMDTINST M1000.4 (series), for the retirement or release from active duty of an RPA.

1.B.5. Officer Candidate School

1.B.5.a. General

- (1) General Information. Officer Candidate School (OCS) is a major source of newly commissioned Coast Guard officers. The Service selects candidates based on a competitive system. Upon satisfactorily completing 17 weeks of training, graduates are appointed as commissioned Coast Guard ensigns or lieutenants (junior grade) under the provisions of Article 1.A.3. of this Manual or commissioned Coast Guard Reserve ensigns under this Article's provisions. Classes convene according to a schedule published by a general message.
- (2) Board Convening. At least twice annually Commanding Officer (CGRC) convenes boards to select Reserve and temporary commission applicants to OCS. A general message announces application deadlines, cutoff dates for eligibility requirements, and any other information of concern to applicants.

1.B.5.b. Eligibility Requirements

- (1) Age. Applicants must be between 21 and 26 years of age before the actual class convening date published for each selection period except:
 - (a) OCS Temporary Commission: Applicants applying for a temporary commission must have reached their 21st birthday but not their 35th birthday as of 30 September of the fiscal year in which the panel convenes.
 - (b) OCS Reserve Commission: Applicants applying for a reserve commission must have reached their 21st birthday but not their 31st birthday as of 30 September of the fiscal year in which the panel convenes.
 - (c) Chief Warrant Officers. Regular Coast Guard chief warrant officers are eligible until they reach their 40th birthday.
- (2) Military Status.
 - (a) College Seniors. Commanding Officer (CGRC) accepts applications from college seniors currently enrolled in any ROTC program. However, the student must present a statement signed by an authorized official of the losing Service that it releases the student from any contractual obligation for military duty incurred through membership in that Service.
 - (b) Reserve Members. Any Armed Forces Reserve member (other than Coast Guard) may apply if he or she submits these documents:

- [1] A conditional release from the Reserve component which states that Service will discharge him or her on enlistment in the Coast Guard Reserve preparatory to assignment to OCS.
 - [2] A signed statement he or she understands these conditions and will inform Commanding Officer (CGRC) immediately of any change in his or her military status, including receiving orders to report for active duty.
- (c) Active Duty Members. Any person currently on active duty in an Armed Force other than the Coast Guard must include in the application file a statement from his or her Service that it will discharge him or her if selected to attend OCS. This statement is not necessary if his or her enlistment expires before the convening date of the first class for which selections are made.
- (d) Requirement for Temporary Regular Commissions. Applicants for temporary regular commissions must be on active duty in the Coast Guard.
- (e) Ineligible Members. An applicant who has six or more years of previous active duty creditable service for retirement, other than in the Coast Guard or Coast Guard Reserve, is not eligible.
- (3) Physical. Applicants must meet the requirements listed in reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), Section 3.E.3.
- (4) Citizenship. The applicant must be a United States citizen with no questionable foreign connections.
- (5) Officer Screening Tests. OCS screening tools and their minimum required scores are listed below. Applicants to all selection boards must include in their application package a qualifying score on the SAT, ACT or ASVAB. No waivers will be considered. The most recent score is valid for this program with no limitation on what year the test was taken.

| Test | Minimum Qualifying Score | Required Proof |
|--|---|---|
| Scholastic Aptitude Test (SAT) | Combined 1000 on verbal and math or 1100 on the SAT 1 | Copy of the score report |
| American College Test (ACT) | 21 | Copy of the score report |
| Armed Services Vocational Aptitude Battery (ASVAB) General Technical (GT) Aptitude Area, | 110 | ASVAB test scores printed from Direct Access. |

| | | |
|--|--|--|
| which combines Arithmetic Reasoning (AR) Test and Verbal Ability (VE) standard score, obtained by adding the Word Knowledge (WK) and Paragraph Comprehension (PC) Test scores. | | |
|--|--|--|

(6) Interview. A board of commissioned officers interviews each applicant in accordance with Article 1.B.8. of this Manual. Applicants not selected for OCS may reapply and be interviewed again.

(7) Educational Qualifications.

(a) Reserve Commission Applicants. Reserve commission applicants must be in their senior year at or hold a baccalaureate or higher degree from an accredited college or university. Persons preparing for the ministry are not eligible to apply.

(b) Temporary Regular Commission. Temporary regular commission applicants must:

[1] Hold a baccalaureate or higher degree from an accredited college or university prior to beginning the application process, or

[2] Attain 25th-percentile scores (a general message will publish actual scores required) on all parts of the DANTES General Examinations of the College Level Examination Program, or

[3] Complete one year of study (30 semester hours or 45 quarter hours) at an accredited, degree-granting college or university, and

[4] Satisfactorily complete one college-level mathematics course, or

[5] Pass the DANTES General Mathematics Examination of the College Level Examination Program (CLEP).

(c) Accredited College. An accredited college is one accredited by an accrediting body recognized by the Council on Post-Secondary Accreditation. Commanding Officer (CGRC) will consider waiving the accreditation requirement if the applicant presents written certification from the appropriate officials of three accredited colleges or universities stating their schools will accept his or her credits for transfer purposes as if the applicant had earned them at an accredited school or recognize his or her baccalaureate degree for purposes of graduate study.

(d) Service Schools and Correspondence Courses. Service schools and correspondence courses are a possible source of college credits. Credits earned

this way are acceptable for purposes of program qualification when awarded by accredited colleges or universities, or when reflected on the Coast Guard Institute certified transcript.

(8) Coast Guard Personnel on Active Duty.

- (a) E-4 and Below. Members E-4 and below are ineligible for temporary regular commissions with the following exception: members reverted to E-4 due to a change in rate in accordance with Article 3.A.24.a.(2) of reference (i), Enlisted Accessions, Evaluations, and Advancements, COMDTINST M1000.2 (series), and who previously served satisfactorily as an E-5 in the Coast Guard, are eligible for temporary regular commissions. Aside from this exception, if otherwise eligible, they may apply for reserve commissions.
 - (b) E-5 and Above. Enlisted members E-5 and above who meet the time in service requirement specified in Article 1.B.5.b.(9) below may be appointed temporary officers only in the grade of ensign. However, if they do not meet the time in service requirements, they may be appointed as Reserve officers if they meet the criteria for a Reserve commission.
 - (c) Regular Chief Warrant Officers. Regular chief warrant officers with 21 or more months as a chief warrant officer on the published class convening date are eligible to apply for temporary commissions as lieutenants (junior grade). All chief warrant officers with fewer than 21 months on that date will be commissioned as ensigns. Officer candidates who apply as enlisted members are appointed to warrant grade before OCS graduation receive temporary commissions as ensigns.
- (9) Time in Service. Temporary commission applicants must have at least four years of active duty in any Armed Forces branch by the published class convening date. They must have served at least two years of their active duty in the Coast Guard. They may not use active duty for training to fulfill this requirement.
- (10) Dependents. Applicants not on active duty in the Coast Guard may have a maximum of three dependents.
- (11) Flight Training. Applicants are not pre-selected for flight training, but may apply at OCS. They take the Aviation Selection Test and a flight physical examination during the OCS application process to determine their qualifications for flight training, but the board does not consider such information in the OCS selection process. Applicants considering flight training should be aware they must meet the requirements published in reference (j), Performance, Training and Education Manual, COMDTINST M1500.10 (series), including the age requirements. Applicants are not assigned to an earlier OCS class solely to enable them to meet flight training age requirements.

1.B.5.c. Applications

All applicants should contact their local recruiting office, or if already in the Coast Guard, their unit's Educational Services Officer (ESO). All enlisted and chief warrant officer applicants apply through their unit to Commanding Officer (CGRC).

1.B.5.d. Educational Services Officer Action

The unit ESO assists the applicant with:

- (1) Arranging medical examinations and the Board of Interview.
- (2) Sending applications and required documents to Commanding Officer (CGRC). If travel for a physical examination is excessive, the Government may bear the cost under provisions of the Joint Federal Travel Regulations, Vol. 1, paragraph U7025. In many cases, the ESO may schedule the interview during the same trip as the medical examination.

1.B.5.e. Coast Guard Recruiting Command (CGRC) Action

Commanding Officer (CGRC) takes these actions:

- (1) Provides the requesting unit ESO with the Record of Military Processing—Armed Forces of the United States, DD Form 1966, instructions for submitting documents required.
- (2) Assists the unit in completing the requirements to submit OCS applications.

1.B.5.f. Required Documents

- (1) All Applicants. These documents must be submitted for all applicants:
 - (a) Report of Medical Examination, Form SF-88, and Report of Medical History, SF-93, prepared in triplicate, with all copies signed.
 - (b) The complete set of the Aviation Selection Test Battery Answer Sheets. Return the entire packet (AQT, MCT, SAT, BI) with answer sheets to Commanding Officer (CGRC), including unused portions.
 - (c) Officer Programs Applicant Interview Form, Form CG-5527 (one combined form from all board members).
 - (d) Report of Board of Interview. See Article 1.B.8. of this Manual.
 - (e) A brief narrative explaining the applicant's reasons for applying for OCS and goals as a Coast Guard officer, if selected. As part of this narrative, the applicant

may specify which class he or she prefers to attend. The Coast Guard attempts to honor that preference if the applicant is selected, but cannot give guarantees.

- (f) Finger Print Card, FD-258 (two originals). This may be submitted after selection as primary or alternate candidate.
 - (g) Questionnaire for National Security Positions, SF-86. Leave "Date Requested" blank.
 - (h) Personnel Security Action Request, Form CG-5588, (one original). This may be submitted after selection as primary or alternate candidate.
 - (i) Official transcripts of all college courses completed or other scholastic record, one copy, submitted to Commanding Officer (CGRC) or recruiter directly from the college.
- (2) Temporary Commission Application. In addition to the documents listed above, temporary commission applicants must submit these documents:
- (a) Evidence of completing the educational qualifications listed in Article 1.B.5.b. of this manual.
 - (b) Officer Candidate School Agreement, Form CG-3211C, one copy.
 - (c) A letter evaluation from the applicant's commanding officer. Without the commanding officer's endorsement, no applicant package will be forwarded for further review. The letter evaluation shall include:
 - [1] The commanding officer's evaluation of the applicant's potential value to the Coast Guard as a commissioned officer.
 - [2] His or her evaluation of the applicant compared with other OCS graduates whom he or she personally has known.
 - [3] Any outstanding professional or other qualifications the applicant may possess.
 - [4] The commanding officer's statement of knowledge about the applicant's ability and willingness to meet his or her financial obligations.
 - [5] The applicant's average marks during the current enlistment according to Article 1.B.31. of reference (c), Military Separations, COMDTINST M1000.4 (series), and his or her most recent marks for Performance, Leadership, Military, and Professional Qualities Factor.
 - (d) Questionnaire for National Security Positions, SF-86 (five copies with original

- signature). Submit one copy with the application and the remaining copies after selection as a primary or alternate candidate.
- (e) One copy of the current enlistment contract plus any extensions to it.
 - (f) One copy of the member's Enlisted Employee Review (EER).
 - (g) Statement of Financial Obligation/Spouse's Consent, Form CG-4891.
- (3) Reserve Commission Applicants. Reserve commission applicants who are Coast Guard or Coast Guard Reserve members must submit these documents:
- (a) Proof of baccalaureate or higher degree from an accredited college or university, before the date published in the general message.
 - (b) Items listed in Article 1.B.5.f.(2) of this Manual.
- (4) Civilians and Other Armed Forces or Their Reserves' Members. In addition to the documents listed in subparagraph (3) above, civilian applicants and members of an Armed Force or its Reserve component other than the Coast Guard must submit these documents, which will not be returned:
- (a) Record of Military Processing-Armed Forces of the United States, DD 1966, original and one copy, completed in accordance with reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).
 - (b) Photocopies of Armed Forces of the United States Report of Transfer or Discharge, DD-214, or other separation papers, if applicable (one copy). If the applicant indicates he or she previously applied for officer candidate training in another Service, he or she should state the current status of that application. If previous dismissal from such training is indicated, the applicant must give the reasons for dismissal.
 - (c) Birth certificate (one certified or photocopy).
 - (d) Evidence of change of name, when necessary (one copy).
 - (e) Evidence of citizenship, when necessary (one copy).
 - (f) A list of anticipated dates and places of residence until class convening date.
 - (g) Questionnaire for National Security Positions, SF-86, (five copies with original signature). Submit one copy with the application package and the remaining copies on selection as a primary or alternate candidate.
 - (h) The Statement of Financial Obligations/Spouse's Consent, Form CG-4891.

- (i) Conditional release from another Armed Forces component, when necessary (one copy). See Article 1.B.5.b. of this Manual.
 - (j) Officer Candidate School Agreement, Form CG-3211C, (one copy).
 - (k) Former officers or Reserve officers must submit copies of all fitness reports.
 - (l) A list of five references to whom the recruiter will send a USCG Enlistee Reference Investigation Letter, Form CG-4445.
 - (m) Proof of baccalaureate or higher degree earned from an accredited college or university, before the date published in the general message.
 - (n) Police Record Checks, DD-369. Notify Commanding Officer (CGRC) of any derogatory information omitted from DD-1966 or SF-86.
- (5) Local Recruiting Office Action. Local recruiting offices may forward OCS applications to Commanding Officer (CGRC) before receiving these documents:
- (a) Evidence of a baccalaureate degree.
 - (b) Discharge or separation papers.
- (6) Incomplete Application. Incomplete applications must contain a list of the supporting documents not included, and a statement that they will be forwarded as soon as obtained. Commanding Officer (CGRC) will not authorize enlistments until applications are complete.
- (7) Disposing of Application Files. Commanding Officer (CGRC) retains non-selected applicants' application files. Applicants who want to reapply must request their file be returned to them for updating and resubmission.

1.B.5.g. Notifying Civilian Candidates

- (1) Notification of Selection. All applicants will be notified as soon as possible after selections have been completed.
- (2) Effecting Enlistment.
 - (a) Local recruiting offices shall effect the enlistment of selectees in their area only when Commanding Officer (CGRC) specifically directs. Notification of selection does not constitute authority to enlist.
 - (b) Selectees will be processed for enlistment in the Coast Guard Reserve as outlined in reference (a), Coast Guard Recruiting Manual, COMDTINST M1100.2 (series).

- (c) All selectees should reacquaint themselves with the chapter, "General Information-Before You Come," in the booklet Coast Guard OCS: A Preview for Officer Candidates.
- (d) Local recruiters will question all selectees before enlistment to determine if any change in medical status has occurred since the date of their physical examination. Immediately notify Commanding Officer (CGRC) of any change.

1.B.5.h. Notifying Coast Guard and Coast Guard Reserve Selectees

Commanding Officer, Coast Guard Recruiting Command, notifies selectees via general message traffic of their selection to Officer Candidate School. Commander (CG PSC-EPM) issues orders to OCS to enlisted personnel on active duty and Commander (CG PSC-OPM) to chief warrant officers. Commandant (CG-131) recalls Reservists not on extended active duty and orders them to OCS.

1.B.5.i. Reconsidering an Applicant

Anyone who has applied for this program but was not selected may be reconsidered during the succeeding selections if he or she remains qualified and resubmits an application (See Article 1.B.5.b. and 1.B.5.c. of this Manual.)

1.B.5.j. Rates for OCS Selectees

- (1) Those entering OCS who are not currently Coast Guard or Reserve members receive one of these designations:

| Former Status | OCS Enlisted Rate |
|---|---------------------------------------|
| No prior military service, active or inactive | Seaman apprentice (officer candidate) |
| A former enlisted person of any other Service | Seaman apprentice (officer candidate) |
| Former Coast Guard or Coast Guard Reserve personnel | Rate held at time of last discharge |

- (2) Coast Guard and Coast Guard Reserve enlisted personnel E-5 and above have the designator officer candidate under instruction (OCUI) added to their pay grade for the duration of the training course as follows:

| Former Enlisted Rate | OCS Designator |
|-----------------------------|-----------------------|
| E-9 | OCUCM |
| E-8 | OCUCS |
| E-7 | OCUIC |
| E-6 | OCUI1 |
| E-5 | OCUI2 |

- (3) All officer candidates who report to OCS serving in a pay grade up to E-4 temporarily advance to OCUI2 (pay grade E-5) and hold this rate while they are officer candidates undergoing instruction. If they do not successfully complete the course, they revert to their former pay grade when they reported to OCS.
- (4) Former officers selected for OCS are enlisted as seaman apprentice (officer candidate) and receive original O-1 commissions in the Coast Guard Reserve after graduating from OCS, with previous service time creditable for pay and retirement purposes but not for promotion.
- (5) Coast Guard chief warrant officers on active duty remain chief warrant officers while attending OCS. Upon graduation, they receive temporary regular commissions as either ensigns or lieutenants (junior grade); see Article 1.A.4. of this Manual.

1.B.5.k. Unsuccessful Candidates

- (1) Unsuccessful Completion of OCS. The Service assigns candidates who do not successfully complete OCS as follows:
 - (a) Active duty Coast Guard members to general duty to complete their enlistment or other obligated service.
 - (b) Members of an inactive Reserve component to inactive duty; they incur no additional active duty obligation because they attended OCS.
 - (c) The Service normally discharges applicants with no service affiliation before enlisting for OCS from the Service.
 - (2) Failure to Meet Commissioning Physical Requirements. The Service normally discharges a candidate who fails to meet the physical requirements for commissioning.
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1.B.6. Recalling Retired Reserve Officers

The information in Article 1.A.10. of this Manual on recalling retired Regular officers also applies to retired Reserve officers (10 U.S.C. § 672 (a) and § 672 (d)).

1.B.7. Security Investigations for Original Appointment of Reserve Officers

Selectees must initiate a National Agency Check and sign the following Statement of Understanding before commissioning:

“I understand a National Agency Check will be conducted to determine my qualification for commissioning as a United States Coast Guard officer. I understand my commission may be revoked and I may be separated in accordance

with 10 U.S.C. § 1162 or 14 U.S.C. § 281 if it is determined I am not eligible for a secret security clearance.”

1.B.8. Interviewing Procedures for Officer Recruiting Programs

1.B.8.a. General

OCS and the various direct commission programs are important sources of Coast Guard officers. Various selection boards evaluate applicants' qualifications to determine those best qualified for a particular program. To do so properly, they must have adequate information. An important source is the interview, often the only significant personal contact with the applicant reported by a Coast Guard official. As such, the interview provides important subjective input on the applicant's poise, leadership potential, ability to communicate, motivation for service in the Coast Guard, etc. On the basis of this subjective report and other, more objective measures, the Coast Guard selects candidates. The accuracy of the selection process directly reflects the quality and uniformity of interviews. Consequently, effective interviewing procedures and careful attention to completing the Officer Programs Applicant Assessment, Form CG-5527, are extremely important to both the Coast Guard and the applicant. Article 1.B.9. of this Manual contains guidelines for interviewing for officer programs.

1.B.8.b. Requirements

(1) Composition of Interview Boards.

- (a) Commanding officers shall convene interview boards at places within their jurisdiction. Boards shall consist of three officers, except when necessary to interview an applicant at a location geographically remote from a larger Coast Guard facility. In such cases, a two-member board is authorized.
- (b) The board's senior member shall be a lieutenant commander or above. Other members should have the rank of ensign or higher with more than one year of Coast Guard service. Interview board members for chief warrant officer applicants shall be lieutenant commanders or higher. All members must be equal or senior to the grade for which they are considering the applicant.
- (c) Interview boards should be composed with applicant and program in mind. Thus, when interviewing for OCS, the board should contain, if practical, an OCS graduate; for a direct commission program, a specialist in the same field; for a Reserve commission, at least one Reserve officer. A board interviewing female or minority applicants should contain, if practical, a female or respective minority member. A board considering licensed officers in the Merchant Marine or Maritime Academy graduates should include, if practical, one officer with merchant marine safety experience.
- (d) When practical, two board members should be Regular Coast Guard officers.

When a two-member board is authorized one must be a Regular officer.

- (e) Since an unbiased, independent contribution is essential, officers in direct personal or professional contact with the applicant may not be members of that individual's interview board. Coast Guard members' immediate supervisors and commanding officers may not be board members because they provide input through the commanding officer's endorsement.
- (2) Interview Board Report. The interview board completes an Officer Programs Applicant Assessment, Form CG-5527, for each applicant. Board members should prepare this form jointly, with all board members reaching a consensus. Do not show applicants the completed forms from the interview. Submit these sheets with the cover sheet, signed by the senior board member, to the recruiter or educational services officer and provide this information:
- (a) The name of the program,
 - (b) The applicant's name,
 - (c) The names and duty stations of the interview board members, and
 - (d) Date or dates when members interviewed the applicant.
- (3) Applicant Recommendation. The interview board must state the applicant's suitability for commissioning in the program(s) in question in the first sentence of the "Overall Impression of Candidate" box of the Applicant Assessment form in this wording: "(applicant name) is recommended for (program name)," or "(applicant name) is NOT recommended for (program name)," for example: "Mary Jones is recommended for Officer Candidate School;" or "Ralph Jones is NOT recommended for the Direct Commission Aviation program." In addition, include applicable comments in the "Overall Impression of the Candidate" box.
- (4) Other Evaluation. The local recruiter or other persons who process an applicant often are a valuable source of information. When they have sufficient personal contact with an applicant to provide an accurate evaluation, they should complete an Officer Programs Applicant Assessment form and attach it to the board report, marking it clearly with the words, "NOT A MEMBER OF THE INTERVIEW BOARD." This supplements the usual interview board requirement; the recruiter should use it only when fully satisfied the appraisal is complete and accurate.
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1.B.9. Officer Programs Interviewing Guidelines

1.B.9.a. The Objective

The interview's primary purpose is to evaluate the applicant as a prospective Coast Guard officer. In many cases, the Report of Interview is the most valuable portion of an

application and a determining factor in selections for officer programs. The primary object interviewers must keep in mind is their written evaluation usually is the only evidence of the applicant's personal attributes and thus plays a very important part in the selection process. Therefore, it is essential during the interview for interviewers to obtain adequate information and accurately transpose it on the Officer Programs Applicant Assessment form. It also is necessary to attain some degree of uniformity in the Report of Interview since officers of very different backgrounds and experience and varying interviewing proficiency conduct the interviews. An interview board could consist of a captain with marine inspection experience, an Academy lieutenant, and a recent OCS graduate. Their common bond, of course, is all are Coast Guard officers. Consider separately any specialty, such as aviation, although if the board can determine information about that specialty, it certainly is valuable.

1.B.9.b. The Interview

- (1) Environment. The formality of the three officer board may cause the applicant some uneasiness or stress. His or her response to that situation is a valuable part of the interview. However, interviewers will be able to get a more accurate view of the applicant's true personality if a "threatening" environment does not exist. Create an environment which will permit the applicant to relax, so he or she will communicate freely.
- (2) Conversation Flow. Avoid the question and answer approach. Applicants tend to give what they think is the expected answer to a question. Try to conduct the interview as a free-flowing conversation. The member with the most interviewing expertise or experience should direct the interview with a minimum of comments and questions, as appropriate, from the others.
- (3) Chronology. Follow a predetermined interview plan. A chronological sequence, like the one below, is recommended but can be modified as necessary to conform to program requirements and the individual applicant. Included in each section are examples of questions that tend to draw the desired response from the applicant. Do not use the list of questions as a script.
 - (a) Introduction. Explain the primary purpose of the interview is to develop some knowledge of the applicant's interest and ideas. Briefly explain the intended sequence, so the applicant understands the major portion of the interview will obtain those facts, ideas, qualifications, and experiences not available in the other application materials submitted. Explain you intend to reserve time at the end to answer any questions.
 - (b) Personal Life and Home Environment. Review this aspect of the applicant's life, discussing parental guidance and childhood, to provide insight into present and future situations.

[1] What are your recreational and leisure-time interests?

- [2] Do you now belong to any social, civic, or professional clubs and associations?
 - [3] Do you hold office in any of these?
 - [4] If you had more time, in what activities would you like to participate?
 - [5] In general, how would you describe yourself?
 - [6] What do you believe are your outstanding qualities?
 - [7] What do you believe are some of your shortcomings?
 - [8] In which areas would you like to develop yourself?
 - [9] What traits or qualities do you most admire in your immediate supervisor?
 - [10] What has contributed to your career success up to now?
 - [11] What disappointments, setbacks, or failures have you had in your life?
 - [12] What kinds of situations or circumstances make you feel tense or nervous?
 - [13] What were some of the major problems or decisions you have had to make up to now?
 - [14] If you had to do it all over again, what changes would you make in your life and career?
- (c) High School. Attempt to determine what the applicant did, and why, during these formative years.
- [1] In what types of extra-curricular activities did you participate?
 - [2] How did you spend your summers while in high school?
 - [3] Did you hold any class or club offices?
- (d) College or Other Advanced Study. Try to find out the reasons the applicant chose a certain major, how he or she spent extra time, reasons for good or bad grades, and how college experience has contributed to his or her overall life experience.
- [1] Why did you choose the particular college you attended?
 - [2] What determined your choice of major?

- [3] How would you describe your academic achievement?
- [4] How did you decide to become [insert career: an accountant, a sales representative, etc.]?
- [5] How did you spend your summers while in college? Did you hold any class or club offices?
- [6] Have you had any additional training or education since graduating from college?
- [7] How do you think college contributed to your development?

(e) Employment. The other portions of the application provide only minimal information about work experience. The interview is the only opportunity to find out why the applicant took a certain job, reasons he or she quit, and attitudes toward the job, employer, and company.

- [1] Can you describe your present responsibilities and duties?
- [2] What were some things you particularly enjoyed when you worked for [insert employer name]?
- [3] What did you enjoy less?
- [4] Looking back at the time spent with [insert employer name], what do you think you have gained from your association?
- [5] What were your reasons for leaving [insert employer name]? How would you describe your [present/past] supervisor?
- [6] What were some of the problems you encountered on your job and how did you solve them?
- [7] In what way has your present job prepared you for greater responsibilities?
- [8] As you see it, what would be some advantages to you if you joined the Coast Guard?
- [9] What disadvantages might there be?

(f) Military Experience. This portion may be the most difficult for some applicants, particularly those who are presently in the Coast Guard or who have extensive prior service because this type of person knows the “system” and it is difficult to distinguish one from another. Interview reports of in-Service applicants tend to summarize applicants’ assignments and experience, be favorable, and lack

information valuable in evaluating the individual. What is desired is a look at why they entered and left their Service, why they were able to make rate in such a short time or why it took them so long, why they feel they received their evaluation marks, attitudes about the Service, supervisors, and subordinates, ideas on drug and alcohol problems, racial attitudes, etc., and how past military experience can serve them in the future.

- [1] Can you describe your present responsibilities and duties?
- [2] In the past, for what things have your supervisors complimented you?
- [3] What did you and your superior disagree about?
- [4] How has your present job prepared you for greater responsibilities?

(g) Present Situation and Future Ambitions and Goals. What in the applicant's present situation needs changing and how can he or she accomplish it in this program? Does the applicant have a plan to achieve a certain goal? If so, what are the reasons for his or her objectives, and are they realistic? Do not downgrade an applicant only because he or she is unsure of his or her future goals. Many can contribute a great deal to the Service during one tour of duty. On the other hand, one who claims to desire a Coast Guard career may say so because he or she thinks it is a desired response. Interviewers should not ask, "Do you want to make a career of the Coast Guard?"

- [1] In what way does a job with the Coast Guard meet your career goals and objectives?
- [2] If you joined the Coast Guard, where do you think you could make your best contribution?
- [3] What are your long-term goals and objectives?
- [4] In considering joining the Coast Guard, what are some of the factors you took into account?
- [5] What aspects of a job are important to you?
- [6] What would you want in your next job you are not getting now?
- [7] Are there any additional aspects of your qualifications we have not covered which would be relevant to the position we are discussing?

(4) Pointers. Ask if the applicant has questions or if anything else needs to be added. This is particularly important for civilian applicants to avoid any later misconceptions. Emphasize the Coast Guard's military posture. While maintaining a

favorable image, answer questions honestly and avoid any possibility the applicant might believe selection is assured, assignment will be to a desired area or type of work, etc. Remember applicants sometimes hear only what they want to hear and sometimes are unintentionally misled. Don't get trapped into being interviewed by the applicant; make him or her do the talking.

- (a) Don't ask antagonizing questions.
 - (b) Don't ask questions with one-word or -phrase answers.
 - (c) Don't ask questions that have "right" answers.
 - (d) Don't jump to conclusions on the basis of initial impressions or inadequate information.
 - (e) Don't accept a partial response to a question.
 - (f) Don't go off on a tangent. Stay with your intended interview plan.
 - (g) Don't concentrate on shortcomings.
- (5) Conclusion. After the interview, the board members are to complete an Officer Programs Applicant Assessment form in accordance with Article 1.B.8. of this Manual.
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1.C. U. S. Coast Guard Selected Reserve Direct Commission Officer Program

1.C.1. General

1.C.1.a. Purpose

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

1.C.1.b. Eligibility Criteria

All applicants shall meet these basic qualifications:

- (1) Citizenship. Be a citizen of the United States with good character.
- (2) Age. Have reached their 22nd but not 37th birthday by 30 September following the panel that will consider the applicant for selection.
- (3) Physical Standards. Be able to meet the physical standards in Chapter 3 of reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).
- (4) Education. Have either a baccalaureate or higher degree; or if currently in the Coast Guard or Coast Guard Reserve,
 - (a) Be at least an E-5 or an E-4 above the cut on the E-5 advancement eligibility list, and
 - (b) Have successfully completed two years (60 semester or the equivalent quarter hours) at an accredited, degree-granting college or university with a cumulative GPA of 2.0 or higher. An applicant may substitute CLEP examinations (with the ACE recommended score for exams taken before May 1986 and a score of at least 421 for exams taken after May 1986) for up to 30 semester units.
- (5) Officer Screening Test. All applicants are responsible for making necessary arrangements to take the appropriate officer screening test. Former or current officers of the Regular or Reserve Armed Forces of the United States who have served at least one year in commissioned status are not required to take the test. Test results remain valid indefinitely. All applicants must retain the minimum qualifying scores as follows:
 - (a) SAT: combined 1000 on verbal and math,
 - (b) SAT1: combined 1100 on verbal and math,

- (c) ACT: composite of 23
- (d) ASVAB: GT score of 110 (copy of MEPS-714 form is required for civilians)
- (6) Clearance. Be eligible for a secret clearance. Applicants must have a favorable National Agency Check (NAC) within the last ten years. Selectees must acknowledge that if it is determined that they are not eligible for a security clearance, their commission is subject to revocation and they may be discharged. (Exhibit 1.C.1).
- (7) Active Duty and Reserve Applicants. Active duty military applicants or reservists serving on active duty must show proof that they will be released from active duty prior to the ROCI class convening.
- (8) Years of Service. Prior or current military service personnel with 14 or more years of previous service creditable for retirement in another Armed Force or its Reserve component are not eligible to apply.
- (9) Conditional Acceptance of Students and Professionals. Ministers of divinity, theology students, and persons who hold degrees or are in graduate school or training in medicine, dentistry, nursing, veterinary medicine, osteopathy, or optometry are not eligible to apply unless they:
 - (a) Previously served in the Armed Forces or a Reserve component and completed their military service obligations; and
 - (b) Attain their educational status after fulfilling their military service obligation; and
 - (c) On acceptance in the Coast Guard Reserve, agree in writing if mobilized they will waive their right of exemption due to their professional status.

1.C.1.c. Dual Compensation

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

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

All applicants must execute a Statement of Understanding (Exhibit 1.C.1.) which includes the agreement that, if selected, the applicant will affiliate and participate satisfactorily in the Coast Guard Selected Reserve for at least four years. Applicants becoming members of an Armed Force for the first time incur an eight-year military service obligation.

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

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

1.C.1.f. Physical Examination

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

1.C.1.g. Swimming Qualification

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

1.C.1.h. Waiver Requests

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

1.C.2. Application Procedures

1.C.2.a. General

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

1.C.2.b. Documents Required

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

- (1) Signed Statement of Understanding.
- (2) Applicant's Narrative Communication to the SRDC Board (with a substantive endorsement) by the applicant's commanding officer for Coast Guard and Coast Guard Reserve members.
- (3) Civilian resume (maximum of two pages).
- (4) College transcript(s) and proof of degree.
- (5) Letter(s) of recommendation (minimum of one, maximum of three if not a current member of USCG or USCGR; maximum of two if a current member of USCG or USCGR).
- (6) Officer Programs Applicant Interview Form, Form CG-5527.
- (7) Copies of military evaluations encompassing the last three years of service or the entire period of military service, whichever is less (required for members currently in military service; desired for all other prior service).
- (8) Copies of military award citations (personal awards only) and copies of training completion certificates (if applicable).
- (9) Certificate of Release or Discharge from Active Duty, DD Form 214 (if applicable).
- (10) Approved Report of Medical Examination, SF-88 and Report of Medical History, SF-93 (with approving authority signature).
- (11) Request for waiver (if required).
- (12) Copies of SAT, ACT, or ASVAB test completion and scores. A copy of the MEPS-714 form is required for all ASVAB GT scores for civilians.
- (13) Place of residence and telephone number.
- (14) Questionnaire for National Security Positions, SF-86, or a copy of the adjudication message if investigation for security clearance is current (completed within the last ten years).
- (15) Police Record Check, DD-369.
- (16) Request for Conditional Release, DD-368 (if applicable).
- (17) Copy of Social Security card.
- (18) Certified copy of birth and/or Naturalization Certificate(s).

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

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

- (1) Advertise for and solicit applications.
 - (2) Assist applicants in compiling packages and perform administrative reviews to ensure compliance with Article 1.C.2.b. of this Manual.
 - (3) Schedule interview panels. For USCG and USCGR applicants, interview panels should not be comprised of officers from the same command as the applicant.
 - (4) Forward packages to Commanding Officer (CGRC) before the established deadline.
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1.C.3. Selection for Appointment

1.C.3.a. Commission Board Actions

In selecting candidates, the SRDC board:

- (1) Considers only complete application packages,
- (2) Recommends applicants who meet the program's commissioning standards and rank orders the most suitable applicant, and
- (3) Bases grade recommendations on the needs of the Selected Reserve and the applicant's level of education, technical training, professional experience, and military experience which exceeds the prescribed minimum. Applicants with previous officer experience are normally approved for the last grade satisfactorily held, up to the grade of lieutenant.

1.C.3.b. Notification

Commanding Officer (CGRC) will notify applicants of selection or non-selection. Commander (CG PSC-RPM) will coordinate unit assignments and ROCI convening dates.

- (1) Acceptance of a commission is contingent upon acceptance of the SRDC unit assignment.
 - (2) Drilling reservists will continue to drill at their current unit until reporting to ROCI.
 - (3) Effective date of transfer for the SRDC unit assignment will be the date of commission, upon completion of ROCI.
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Exhibit 1.C.1. Statement of Understanding, SELRES DCO Program

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

1. If commissioned through the Selected Reserve Direct Commission Officer Program, I agree to:
 - a. Remain a member of the Selected Reserve or serve on active duty for at least four years from my date of commissioning and fulfill my remaining statutory obligation as a member of the Individual Ready Reserve, if necessary; and,
 - b. Complete the minimum number of inactive duty training (IDT) drills and days of annual active duty for training (ADT) required for my training category.
2. I understand if I am becoming a member of an Armed Force for the first time, I am incurring an eight-year military service obligation.
3. I understand a National Agency Check will be conducted to determine my qualification for commissioning as a United States Coast Guard officer. If it is determined I am not eligible for a secret security clearance, my commission is subject to revocation and I may be discharged in accordance with 10 U.S.C. § 12681.
4. I understand I must satisfactorily meet all conditions that are basic considerations for my continuation in the Coast Guard Reserve: promotion, retention in a paid drill status, retention in any active status, and retention of my commission in the Coast Guard Reserve.
5. I understand if I now am receiving or have ever received a pension, disability allowance, disability compensation, or retired pay from my military service in the United States Government, I may be required to waive all or part of such compensation in favor of Reserve military pay and allowances for the period of active duty (including training) or inactive duty.
6. I understand my commission is contingent upon acceptance of the assigned unit. If the unit for which I am selected is beyond the standards of reasonable commuting distance, travel reimbursement and per diem will not be authorized for IDT drills.

Applicant's Signature

Date

Witnessing Officer's Signature

Date

Exhibit 1.C.2. Direct Commission Officer Applicant Form

NAME: _____ RATE: _____

UNIT NAME: _____ DISTRICT/OPFAC: _____

Recruiter/Unit Commanding Officer:

- 1. Is applicant a U. S. Citizen? Yes _____ No _____
- 2. Will applicant have reached his or her 21st birthday but not his or her 33rd birthday by 1 July following the next Ready Reserve Direct Commission Board? Yes _____ No _____
- 3. If applicant is not a CG/CGR member E-5 or above, does applicant hold a baccalaureate or higher degree from an accredited college or university? If applicant is CG/CGR E-5 or above, has applicant completed at least 60 semester hours or equivalent number of quarter hours which are acceptable for a baccalaureate degree at an accredited, degree-granting college or university? Yes _____ No _____
- 4. If using CLEP examinations to qualify, enter the number of CLEP credits (up to 30). _____
- 5. If the applicant has prior military service, was his or her separation code such that applicant is eligible for reenlistment? Yes _____ No _____
- 6. Will applicant be requesting a waiver? Yes _____ No _____
Of which requirement? _____
- 7. Has applicant completed the required qualification test (SAT, ACT, or ASVAB)? Yes _____ No _____

Coast Guard Recruiting Command:

- 8. Did the applicant receive a qualifying score? Yes _____ No _____
Score _____ Date _____ Which Test? _____
- 9. Check applicant's security clearance level. C _____ S _____ TS _____
Check the type of investigation. NAC _____ BI _____ SBI _____
Enter the date completed. _____
- 10. Does the applicant need an update or upgrade? Yes _____ No _____

1.D. Appointment as Warrant Officer

1.D.1. General

1.D.1.a. Definition

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

1.D.1.b. Billet Structure

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

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

1.D.2.a. Minimum Eligibility Requirements

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

- (1) Citizenship. Must be a citizen of the United States.
- (2) Clearance. Applicants are no longer required to have a National Agency Check (NAC) completed within five years of the 1 January deadline. However, applicants should review the requirements of reference (k), Personnel Security and Suitability Program, COMDTINST M5520.12 (series), and be prepared in the event an updated background investigation is needed for the initial CWO assignment.
- (3) Service Status. Must be a member of the Coast Guard or Coast Guard Reserve, serving on active duty or an extended active duty contract, with at least four years of service in either component as of 30 June following the 1 January deadline.
- (4) Minimum Active Service. Must have at least eight years total active service in the

Armed Forces of the United States. Credit for active duty time will be computed to 30 June following the 1 January deadline. Members returning to active duty under the Care of Newborn Child or Temporary Separation Policy will be credited for TIS earned prior to separation. Rules for computing active duty separation are contained in Article 1.E. of reference (c), Military Separations, COMDTINST M1000.4 (series). Rules for computing active duty time in service (TIS) are contained in Article 1.D.5. of this Manual.

- (5) Maximum Active Service. Must have no more than 26 years of active service on 1 June of the promotion year.
- (6) Pay Grade. Must be serving in pay grade E-6 or above. Those currently serving as temporary officers are not eligible to apply for appointment to warrant grade. Former temporary officers who were authorized to revert to their permanent enlisted status under Article 1.A.11. of reference (c), Military Separations, COMDTINST M1000.4 (series) provisions must request a waiver to apply for appointment to warrant grade. Waiver requests must be submitted via the chain of command to arrive at Commander (CG PSC-OPM) by 1 September preceding the Board. Temporary officers who reverted in accordance with Article 1.A.12.e.(4) of reference (c), Military Separations, COMDTINST M1000.4 (series) do not need a waiver. Additionally, personnel who have previously served as a warrant officer who were authorized to revert to their former enlisted status under the provisions of Article 3.B.6 of this Manual or 1.A.20. of reference (c), Military Separations, COMDTINST M1000.4 (series) are not considered to have the qualities necessary for reappointment to warrant grade and are not eligible to apply.
- (7) E-6 and Below. Enlisted members serving in pay grade E-6 must have displayed their technical ability by placing in the top 50 percent on the eligibility list for advancement to E-7 as a result of the Servicewide Examination (SWE) administered in May prior to the 1 January deadline. The following examples apply.
 - (a) If the E-7 advancement eligibility list has 100 members, those at positions 1 through 50 are eligible to compete for appointment to warrant grade.
 - (b) If the E-7 advancement eligibility list has 101 members on, those at positions 1 through 51 are eligible to compete for appointment to warrant grade.
 - (c) Members removed from published advancement eligibility lists, e.g., retirements, shall not be used as justification to improve the percentile calculation.
- (8) E-7 and Above. Members serving in pay grade E-7, E-8, or E-9 are considered to have already displayed technical ability in their specialty.
- (9) High Year Tenure. Members who are scheduled for separation under the High Year Tenure Program are not eligible to apply since their mandatory separation date will have occurred prior to the effective date of the Final Eligibility List.

- (10) Approved Retirement. Members with an approved retirement are not eligible to apply. Members whose request for retirement is approved after being recommended shall be removed from the Preboard or Final Eligibility List as applicable. Commanding officers shall notify Commander (CG PSC-OPM-1) by memorandum so the names of such applicants can be removed from the applicable list.
- (11) Disciplinary. Must have no court-martial or civil conviction, or nonjudicial punishment and have no unsatisfactory mark in conduct for the three years immediately prior to the 1 January deadline and for the entire period from 1 January to appointment. Commanding officers shall submit a memorandum to Commander (CG PSC-OPM-1) to remove from the warrant officer appointment eligibility lists (Preboard or Final) any person who has received a court-martial or civil conviction, nonjudicial punishment, or unsatisfactory mark in conduct at any time prior to being appointed to warrant grade.
- (12) Previously Declined Appointment. See Article 1.D.10. of this Manual for information about members who previously declined appointment to warrant grade or voluntarily elected to be removed from an eligibility list.
- (13) Requirements Specific to Boatswain and Naval Engineering Specialties. Applicants for the boatswain or naval engineering specialties must have completed at least one year of sea duty as defined by Article 3.A.15. of reference (i), Enlisted Accessions, Evaluations, and Advancements, COMDTINST M1000.2 (series), in pay grade E-6 or above by the 1 January deadline. Surfmen (CXNSJ, CXNSK or CXNSM) who have completed 12 months as a certified surfman in a designated surfman billet, E-6 or above, are considered to have permanently met the sea duty requirement for appointment to warrant. This requirement will not be waived except for members who are presently serving at sea or who are under orders to sea duty and will meet the sea duty requirement by 30 June following the Board's convening date. Commanding officers have authority to grant waivers in these cases. Sea Duty waiver requests must be submitted via the chain of command to arrive at Commander (CG PSC-OPM-1) prior to the 1 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.
- (14) Normal Color Perception/Hearing. In addition to the above eligibility requirements, each applicant for appointment to the AVI, BOSN, ELC, INV, MED, WEPS, ENG, ISM, MLES, and OSS warrant specialties must possess normal color perception. Applicants for the INV specialty must also possess normal hearing.
- (15) 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 endorsement in the comment block of the E-resume should only state “eligible and recommended”. Only commanding officers or officers designated by the commanding officer are authorized to submit the final endorsement. If the commanding officer is not able to endorse the E-Resume during the specified timeframe, a command representative should contact Commander (CG PSC-OPM-1). 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), of this Manual, etc. Members must submit their E-Resumes in time to obtain the commanding officer's E-Interview recommendation by the deadline set via general message traffic by Commander (CG PSC-OPM-1). Commanding officers are no longer required to submit a letter to their SPO listing those recommended.

- (16) Waivers. Except as noted in Articles 1.D.2.a.6. and 1.D.2.a.12. of this Manual, waivers of eligibility requirements will not normally be granted.
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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 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. Commanding officers 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 commanding officer shall not recommend a member whose personal conduct or 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. of this Manual, commanding officers may recommend members for appointment to warrant grade if they meet all the eligibility requirements of Article 1.D.2. of this Manual. In addition to these minimum eligibility requirements, COs shall consider these factors before recommending a member for appointment to

warrant grade:

- (1) Commanding Officer's Recommendation. Commanding officers 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. of this Manual. 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) Commanding Officer's Responsibility. 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. of this Manual, 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. Coast Guard Personnel Service Center 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 (CG PSC-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:

| Enlisted Rating | Warrant Specialty |
|---------------------------------------|--|
| AMT and AET | Aviation Engineering (AVI) |
| AST | Marine Safety Specialist Deck (MSSD) |
| BM | Boatswain (BOSN) |
| DC | Material Maintenance (MAT) or Marine Safety Specialist Engineering (MSSE) |
| EM | Naval Engineering (ENG) or Marine Safety Specialist Engineering (MSSE) |
| ET | Electronics (ELC) |
| FS | Finance and Supply (F&S) |
| GM | Weapons (WEPS) |
| HS | Medical Administration (MED) |
| IS | Intelligence Systems Specialist (ISS) |
| IT | Information Systems Management (ISM) |
| Special Agents IV (Reserve Rating) | Criminal Investigator (INV) |
| ME | Maritime Law Enforcement and Security Specialist (MLES) |
| MK | Naval Engineering (ENG) or Marine Safety Specialist Engineering (MSSE) |
| MST | Marine Safety Specialist Deck (MSSD) |
| MU | Bandmaster (BNDM) |
| OS | Operations Systems Specialist (OSS) |
| PA | Public Information (INF) |
| SK | Finance and Supply (F&S) |
| YN | Personnel Administration (PERS) |

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

- (1) Requirements for Competing for Appointment to a Warrant Specialty Not in 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 the following:
 - (a) Resident Training Courses. Must complete all Coast Guard Institute nonresident training courses up through E-6 for a rating in the desired path.
 - (b) Eligibility Requirements for Advancement. Must meet the eligibility requirements in Article 3.A.6. of reference (i), Enlisted Accessions, Evaluations, and Promotions, COMDTINST M1000.2 (series), for advancement to E-7 in the

enlisted rating consistent with the requirement of Article 1.D.2. of this Manual.

- (c) Participation in the SWE. 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.
 - (d) Written Request. Interested applicants shall submit a written request to Commander (CG PSC-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 1 January deadline. Such requests shall be submitted in time to arrive at Commander (CG PSC-OPM-1) no later than 1 February of the year the E-7 SWE is desired.
- (2) Change in Rating. 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.
 - (3) Not Selected for Appointment. Unsuccessful applicants must recompute annually in the appropriate E-7 SWE examination.
 - (4) Competing in Normal Specialty. Members authorized to apply for a warrant specialty outside their normal appointment path cannot compete for their normal specialty.
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1.D.5. Credit for Time in Pay Grade (TIG) and Active Duty Time in Service (TIS)

1.D.5.a. Computing TIG

Use the following rules to compute TIG for time served in pay grades E-6, E-7, E-8, and E-9.

- (1) Calculation. Calculate time in grade in years and months to 1 July of the year of the Board. Thirty days equal one full month. After totaling all creditable periods of TIG, drop a remainder of fewer than 30 days.
- (2) TIG Creditable. Credit TIG as served in pay grades E-6, E-7, E-8 and E-9 in the Coast Guard or Navy. All Navy service must be supported with a Certificate of Release or Discharge from Active Duty, Form DD-214.
- (3) TIG When Voluntarily Reduced in Grade. Reserve members on active duty who voluntarily accepted a reduction in grade to enlist or reenlist in the Regular Coast Guard will not receive TIG held in the higher pay grade regardless of whether the member subsequently advanced to the formerly held higher pay grade after enlisting or reenlisting in the Regular Coast Guard.

- (4) TIG with Continuous Active Service. Previous Coast Guard or Navy TIG in the present or higher grade is creditable only if served under continuous active service conditions (within three months of separation).
- (5) TIG as a Temporary Officer. Credit time served as a prior temporary officer. Enlisted members who were reverted from a temporary officer status will be credited with TIG in their permanent enlisted grade of E-6 and above.
- (6) TIG While on the TDRL. Do not credit time on the TDRL when computing TIG.
- (7) TIG When Reduced in Grade for Disciplinary Reasons. Do not credit time served in a grade from which a member was reduced as a result of non-judicial punishment, court-martial, or incompetence.
- (8) TIG When Reduced in Grade for Change in Rate. Time served in a previous grade is creditable for those personnel who accepted a reduction in rate for the purpose of a change in rating.

1.D.5.b. Computing TIS

Use the following rules to compute TIS.

- (1) Calculation. After totaling all creditable periods of TIS, a remainder of fewer than 30 days shall be dropped.
 - (2) Creditable Active Duty. Active duty in any of the Armed Forces is creditable. A correct Active Duty Base Date is the basis for this computation.
 - (3) Time Served on the TDRL. Do not credit time served on the TDRL as active service.
 - (4) Terminal Eligibility Date. The terminal eligibility date is 1 July of the year of the Board.
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1.D.6 Preboard Results

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

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

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

1.D.6.b. Preboard Score

The preboard score consists of an experience factor and an evaluation factor. The experience factor accounts for 40 percent of the preboard score and is calculated by crediting one point for each full month of active service as E-6 and two points for each full month as E-7, E-8, and E-9. Maximum credit for time as E-6 is 100 points. Total maximum credit for time as E-6 through E-9 is 175 points. The evaluation factor accounts for 60 percent of the preboard score and is computed by Direct Access based on the applicant's performance marks during the four-year period immediately prior to the 1 January deadline. Only E-6 marks will be used for those E-6 applicants with fewer than four years TIG.

1.D.6.c. Preboard Eligibility List

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

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

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

Commanding officers shall submit the latest version of the Officer Evaluation Report (OER), Form CG-5310A, for all members of their command whose names appear on the Preboard Eligibility List. The OERs shall be submitted directly to Commander (CG PSC-OPM) and shall be prepared using the instructions in Article 1.D.7.b. of this Manual. Do not use OER preparation instructions contained in Article 5.A. of this

Manual. Each primary and alternate candidate shall submit a resume prepared in accordance with the instructions in Article 1.D.7.c. of this Manual. The submission deadline date for the OER and resume will be announced in the ALCGPSC message publishing the Preboard Eligibility List.

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

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

- (1) Commanding Officer Responsibility. The candidate's current commanding officer must sign as Supervisor and Reporting Officer. OERs completed by former commands, however recent, will not be accepted. The member's "current commanding officer" is determined by considering where the member is permanently attached when the Preboard Eligibility List is published. If the applicant is in an advanced education program, the program manager is the appropriate signatory. Commanding officers are encouraged to contact prior commands for OER input on recently assigned personnel. Commanding officers who desire to provide input on candidates whom they recommended for appointment to warrant grade for the current cycle, but who are no longer assigned to their command, are encouraged to contact the current commanding officer and may forward an Administrative Remarks, Form CG-3307, documenting the candidate's potential to serve successfully as a CWO. The Administrative Remarks, Form CG-3307, shall be submitted directly to Commander (CG PSC-PSD-MR) for inclusion in the candidate's CG PSC Electronically Imaged Personnel Data Record, EI PDR.
- (2) Preparation of Officer Evaluation Report, Form CG-5310A. Prepare an original Officer Evaluation Report, Form CG-5310A, in accordance with current policy announced via ALCGPSC.
- (3) Distribution of the Officer Evaluation Report, Form CG-5310A. The original of the Officer Evaluation Report, Form CG-5310A, will become part of the candidate's recommendation file which is forwarded directly to Commander (CG PSC-OPM-1). The copy will be retained in the unit file for one year.
- (4) Correction of the Officer Evaluation Report, Form CG-5310A. Changes to the form will not be permitted after submission except when an administrative error in preparation has been made (i.e., typing). Requests for changes due to administrative errors will be made by letter to Commander (CG PSC-OPM-1) explaining the error, the desired correction, and the reason. If the request for correction falls within 15 days of the convening date for the Board, the request should be made by message.

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

All primary and alternate candidates whose names appear on the Preboard Eligibility List shall submit a resume via the chain of command. The "to" line shall read, "President,

CWO Appointment Board". No enclosures to the resume (other than the OER) are permitted. The resume shall be submitted to "President, CWO Appointment Board", c/o Commander (CG PSC-OPM-1). The resume must be submitted in accordance with The Coast Guard Correspondence Manual, COMDTINST M5216.4 (series) using the memorandum letterhead in the following format:

- (1) Limited to a maximum of two pages, single-sided, single-spaced, 12 point text.
 - (2) Contain a historical summary of units, listing the primary and collateral duties assumed at each. List units in reverse chronological order (i.e., the most recent unit listed first).
 - (3) Contain a summary of major professional accomplishments including medals, awards and academic achievements.
 - (4) Contain a summary of reasons for desiring appointment to warrant grade.
 - (5) Commanding officers shall forward the resume without comment (signature endorsement only) and shall attach the completed OER as enclosure (1). No other enclosures are permitted.
-

1.D.8. The Board Process

1.D.8.a. Convening of Board

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

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

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

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

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

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

Commander (CG PSC) shall furnish the appointment Board with:

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

this Manual.)

- (3) The CG PSC EI PDR of all primary candidates.

1.D.8.e. Method of Selection

- (1) Board Responsibilities. The Board must first determine, by specialty, if all primary candidates are fully qualified to become chief warrant officers based on the information furnished in Article 1.D.8.d. of this Manual and the professional judgment of the Board members. After making this determination, the Board must then rank order the primary candidates on a best-qualified basis.
- (2) Member Conduct. The Board shall not recommend candidates for appointment whose personal conduct and associations are such that reasonable grounds exist for rejection on the basis of loyalty. Although a candidate may have been considered as meeting the minimum requirements, the Board may find trends or patterns of conduct, indebtedness, performance, or behavior which it considers disqualifying and therefore may find the candidate not fully qualified for appointment.
- (3) Board Report. The Board will submit a report of those recommended for appointment in each specialty to the Secretary of Homeland Security (the Secretary) for appointment authority.

1.D.8.f. Submission of Reports

- (1) The Board Report. The Board Report shall contain:
 - (a) A cover sheet.
 - (b) A listing of membership.
 - (c) A listing of the convening, meeting, and adjourning dates.
 - (d) A listing of the names of candidates recommended for appointment in each specialty.
 - (e) A definite recommendation for all candidates considered, either they are, or are not, qualified for appointment. The recommendation shall not include any restrictions or qualifications.
 - (f) If the Board does not recommend a candidate for appointment, the reasons therefore shall be indicated in the Board Report.
 - (g) A certification that, in the opinion of at least a majority of the members if the Board has five members, or in the opinion of at least two-thirds of the members if the Board has more than five members, the candidates recommended are the best

qualified for appointment to warrant grade.

- (h) The signature of each member.
 - (i) A copy of the signed precept, appended.
- (2) Commandant Approval. The Board shall submit its report to the Commandant for approval, modification, or disapproval. If the Board has acted contrary to law or regulation, the Commandant shall return the report for proceedings, revisions, and resubmission.
- (3) Board Disclosure. The deliberations of the Board shall not be disclosed to any person not a member of the Board.
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1.D.9 The Postboard Process and Final Eligibility List

1.D.9.a. Publication of Results

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

1.D.9.b. Method of Appointment

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

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

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

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

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

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

The Final Eligibility List will normally be effective from 1 June through 31 May of the year following the Board. However, if Service needs dictate, appointments from a specific warrant specialty list may be made prior to 1 June if all candidates from the previous list of the same specialty have been offered appointments. Candidates above the appointment cutoff remaining on an eligibility list at the time a new list is established will be carried over to the top of the new list. Candidates below the appointment cutoff will not be carried over to a new list and should plan to recompile in the next cycle.

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

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

(1) Removal from the Preboard Eligibility List. A candidate's name shall be removed from the Chief Warrant Officer Preboard Eligibility List upon receipt of adverse information by a commanding officer within the candidate's chain of command or Commander (CG PSC-C). Adverse information is factual knowledge that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. When adverse information is received that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer, a candidate's current commanding officer, any commanding officer in the candidate's chain of command, or Commander (CG PSC) has the authority to remove the candidate's name from the Preboard Eligibility List. Removal occurs by notifying Commander (CG PSC-OPM) to remove the candidate's name from the Preboard Eligibility List. The removal from the Preboard Eligibility List may be initiated via memo or message to Commander (CG PSC-OPM). Conviction by a court martial, conviction by a civil court, receipt of non-judicial punishment, or receipt of an unsatisfactory mark in conduct after a candidate has applied for a warrant officer appointment is normally considered adverse information that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. The notification to remove a candidate's name from the Preboard Eligibility List is a final administrative action predicated on the judgment of the removing authority that the information received casts doubt on the candidate's moral or professional qualifications for appointment as a chief warrant officer. There is no

procedure for reinstatement on a Preboard Eligibility List. The candidate may submit a new request for a chief warrant officer appointment in a subsequent year. The new request shall be submitted in accordance with the provisions of Article 1.D. of this Manual.

- (2) Removal from the Final Eligibility List. A candidate's name shall be removed from the Final Eligibility List upon receipt of adverse information by a commanding officer within the candidate's chain of command or Commander (CG PSC-C), which casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer. When adverse information is received that casts doubt on a candidate's moral or professional qualifications for appointment as a chief warrant officer, a candidate's current commanding officer, any commanding officer in the candidate's chain of command, or Commander (CG PSC) has the authority to remove the candidate's name from the Final Eligibility List by notifying Commander (CG PSC-OPM) to remove the candidate's name from the Final Eligibility List. The removal from the Final Eligibility List may be initiated via memo or message to Commander (CG PSC-OPM). Conviction by a court martial, conviction by a civil court, receipt of non-judicial punishment, or receipt of an unsatisfactory mark in conduct after the candidate has been recommended by the chief warrant officer appointment board is normally to be considered adverse information which casts doubt on the candidate's moral or professional qualifications for appointment as a chief warrant officer. The memo or message removing a candidate's name from the Final Eligibility List shall contain the following information:
 - (a) Candidate's name.
 - (b) Length of service.
 - (c) Period of time candidate was observed.
 - (d) Reason for recommendation.
 - (e) Specific facts or circumstances relative to performance.
 - (f) Medical reports or opinions, if applicable.
 - (g) Nature of counseling and other steps taken to correct deficiencies.
 - (h) Candidate's response to counseling.
- (3) Initiating a Special Board. Upon receipt of the commanding officer's request to remove the candidate from the Final Eligibility List or when initiated by Commander (CG PSC-OPM), the candidate's name will be temporarily removed without conducting a special board. The candidate shall have an opportunity to review the recommendation and shall be permitted to make such comments as desired by endorsement to the commanding officer's request. If Commander (CG PSC-C)

initiates this action, the candidate shall be advised in writing of the contemplated actions and the reasons therefore and given the opportunity to provide comments as desired via the chain of command.

- (4) Special Board Review. After the candidate has been temporarily removed from the Final Eligibility List, the case shall be reviewed at the Coast Guard Personnel Service Center by a special board of senior officers. The special board shall consist of at least three officers in the grade of commander or above. The membership shall include a representative from the Headquarters or Commander (CG PSC-OPM) division having cognizance of the candidate's specialty. After a thorough review of the candidate's I-PDR and associated documents, the special board shall recommend to the Commandant either that the candidate be reinstated on the Final Eligibility List or that the candidate not be reinstated on the Final Eligibility List.
- (5) Reinstatement Authority. The recommendation of the Special Board to reinstate the candidate's name to the Final Eligibility List shall be forwarded to the Commandant (CG-1) for approval, modification, or disapproval. Commandant (CG-1) may determine that special circumstances exist which warrant final action be taken by the Commandant. In the event of such a determination by Commandant (CG-1), the recommendation of the Special Board shall be forwarded to the Commandant for action.
- (6) Candidate Notification. The candidate will be advised of the results of the special board action.
 - (a) If the Commandant approves the special board's recommendation to return the candidate's name to the list and that candidate would already have been appointed, the candidate will be tendered the next available appointment.
 - (b) If the Commandant approves the special board's recommendation to return the candidate's name to the list and the candidate would not yet have been appointed, the candidate's name will be returned to the original position on the list.
 - (c) If the candidate's name is not reinstated on the Final Eligibility List, the candidate may submit a new request for a chief warrant officer appointment in a subsequent year. The new request shall be submitted in accordance with the provisions of Article 1.D. of this Manual.

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

A candidate's name will be removed from an eligibility list if a personnel security investigation casts doubt on the candidate's moral or professional qualifications. (Refer to reference (k), Personnel Security and Suitability Program, COMDTINST M5520.12 (series) for processing of investigations).

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

- (1) Impact on Future Competition. Candidates who elect removal from the Preboard Eligibility List will be allowed to compete in the next warrant officer appointment process cycle if eligible.
- (2) Requesting Removal from the Final Eligibility List. Upon publication of the Final Eligibility List, candidates will be given two weeks from the date time group of the ALCGPSC message to request removal from the list with a two-year loss of eligibility. A candidate who declines an appointment to warrant grade, or elects removal from the Final Eligibility List after the two-week period has elapsed shall be required to wait five years from the anniversary date of that election before being eligible to recompute. At the time the candidate makes either of the above elections, Commander (CG PSC-OPM) and (CG PSC-EPM) shall be notified by expeditious means, and the following Administrative Remarks, Form CG-3307, entry documenting the election, shall be made in the candidate's IPDR:

DATE: "I have read and understand Article 1.D.10.c., Officer Accessions, Evaluations and Promotions, COMDTINST M1000.3 (series). I voluntarily elect to be removed from the eligibility lists for appointment to warrant grade. I understand that I will not be eligible to apply for appointment to warrant grade for (two or five whichever is applicable) years from the anniversary date of this election. I understand that I will be eligible to reapply as a candidate for appointment to warrant grade on or about (date)."

- (3) Declining Appointment Due to Receipt of PCS Orders. Members declining appointments off an eligibility list through an offer of orders by an assignment officer incur a five year penalty. The Administrative Remarks, Form CG-3307, entry made in the candidate's IPDR documenting this election shall be initiated by the member's commanding officer. The text of the entry shall be the same as Article 1.D.10.c.(2) of this Manual.
- (4) Exception. The exception to the five-year rule will be for candidates who decline appointment to CWO due to a documented personal hardship. Commander (CG PSC-OPM-1) must be notified of such candidates. Commander (CG PSC-OPM) will make the determination regarding whether the candidate should be exempt from the five-year rule for personal hardship. If an exemption is approved, the candidate will not be allowed to participate until after the hardship is resolved. The following Administrative Remarks, Form CG-3307, shall be entered into the candidates I-PDR:

DATE: "I have read and understand Article 1.D.10.c., Officer Accessions, Evaluations and Promotions, COMDTINST M1000.3 (series). I voluntarily elect to be removed from the eligibility lists for appointment to warrant grade. I understand that I will not be eligible to apply for appointment to warrant grade until my personal hardship has been resolved."

- (5) Documentation. The original Administrative Remarks, Form CG-3307, entry shall be forwarded immediately to Commander (CG PSC-PSD-MR). If the five-year period has not expired or the personal hardship has not been resolved at such time as the candidate reenlists, the Administrative Remarks, Form CG-3307, shall be retained in the I-PDR upon reenlistment.
 - (6) Timeline to Re-compete. A member declining appointment will be allowed to re-compete if their new eligibility date (i.e., two or five year anniversary) ends prior to the day the upcoming board convenes.
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1.D.11. Procedure for Appointment to Warrant Grade

1.D.11.a. Appointments

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

1.D.11.b. Oath of Office

- (1) Executing the Oath of Office. An oath of office is required and will be recorded on an Acceptance and Oath of Office, Form CG-9556, which is attached as an enclosure to the appointment letter. The oath of office shall not be executed prior to the date of rank specified in the appointment letter. The Acceptance and Oath of Office, Form CG-9556, will be executed for the appointee's grade (W-2). After the oath of office forms are completed, they shall be forwarded to Commander (CG PSC-OPM-1) along with a copy of the physical examination as required by Article 1.D.11e. of this Manual.
- (2) Authority to Administer the Oath of Office. The Oath of Office can be administered by any commissioned officer of the Armed Forces (Active, Reserve, or Retired), a United States Commissioner, a Judge of a Court of Record, a Clerk or deputy Clerk of a Court of Record, a Notary Public, or a Justice of the Peace.

1.D.11.c. Pay and Allowances

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

1.D.11.d. Withholding of Appointment

It is the responsibility of each officer in the chain of command to withhold an appointment letter if the appointee has become disqualified after publication of the Final

Eligibility List. A disqualification as used herein is deemed to be any circumstance which casts doubt on the moral or professional qualifications of the person concerned for the appointment contemplated or an unsatisfactory mark in conduct for any subsequent period. This includes pending boards, courts-martial, or investigative proceedings. An appointment shall be withheld by returning the appointment letter to Commander (CG PSC-OPM-1) with a concise report of the circumstances. The appointee shall be furnished a copy of the report and shall be required to acknowledge receipt. A signed copy of the acknowledgment shall be attached as an enclosure to the report.

1.D.11.e. Physical Examination

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

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

| When initially offered appointment and candidate is below the cut and is: | Action: | If candidate subsequently becomes qualified and: | Action: |
|--|------------------|---|--|
| Physically Qualified | Appoint | N/A | N/A |
| Not Physically Qualified | Remove from list | Current list has not expired | Name goes to top of list below the cut. If vacancy occurs prior to expiration of |

| | | | |
|--------------------------|------------------|--------------------------|--|
| | | | current list tendered next appointment; otherwise may re-compete if eligible |
| Not Physically Qualified | Remove from list | Current list has expired | May re-compete if eligible |

1.D.11.f. Weight Standards

Compliance with established weight and body fat standards is required per reference (f), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series), prior to execution of the oath of office. If the candidate does not meet weight and body fat standards, the appointment letter shall be returned to Commander (CG PSC-OPM-1). Commander (CG PSC-OPM-1) will remove the candidate's name from the eligibility list. Candidates will be processed in accordance with the following chart:

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

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

Members who accept appointment as a chief warrant officer (W-2) will be discharged from their enlisted status upon acceptance of the appointment. The discharge will be effective as of the day before the date the candidate executes the oath of office. Discharge shall be for the Convenience of the Government. Article 1.B.12 of reference (c), Military Separations, COMDTINST M1000.4 (series), shall be cited as authority for discharge.

1.D.12. Appointment Ceremony

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

- (1) Honor the member's desire for a particular individual to administer the oath, if possible, consistent with the current laws on persons authorized to administer oaths.
 - (2) The family, special guests and shipmates, as desired by the appointee, should be invited to the ceremony.
 - (3) A photographic record of the ceremony should be made and presented to the appointee. Press releases should be made to the appropriate media.
 - (4) After the ceremony, a brief social gathering is recommended for the appointee(s) and guests.
 - (5) If required, transportation within the confines of the military installation should be provided for guests.
-

1.D.13. Scope of Warrant Specialties

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

Warrant officers serving in the specialty of aviation engineering serve two primary roles; Aircraft Maintenance Officers, and Aviation Systems Integration Project Officers. At a minimum, they must meet the requirements of Aircraft Maintenance Officer as described in reference (1), Coast Guard Air Operations Manual, COMDTINST M3710.1 (series). As operational and technical specialists in the field of aircraft maintenance, they serve as aircraft maintenance officers, assistant aviation engineering officers, and Headquarters level aviation system integration projects officers. They formulate and supervise training programs and prepare, maintain, and submit personnel and material records, logs, reports, and accounts. As maintenance officers and assistant aviation engineering officers, they plan, schedule, and control all phases of aircraft maintenance; to include providing technical advice and information concerning capabilities, limitations, and reliability of aircraft power plants, accessories, airframes, avionics, and equipment. In addition, they direct and supervise practices and procedures for service, maintenance, overhaul, repair, inspection, alteration, modification, and adjustment of aircraft power plants, accessories, airframes, avionics, and equipment. As aviation systems project officers, they develop and implement technical solutions to support aviation capability requirements, and resolve emerging aircraft deficiencies to ensure integrated avionics and electronic systems meet FAA and DoD aviation airspace operating regulations, and national policy. They analyze and develop solutions to maintain/modernize legacy avionics and sensors systems, to ensure alignment with the DHS common operation picture (COP)

requirements.

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

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

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

Warrant officers serving in the Boatswain Specialty are seamanship specialists in Cutter and Small Boat operations in all Coast Guard mission areas. BOSN Warrant Officers, while at sea, serve as Commanding Officers and Executive Officers on Buoy tenders, Construction Tenders and Patrol Boats. They serve as 1st Lieutenant and Division Head on seagoing Buoy Tenders and Major Cutters. While ashore, BOSN Warrant Officers serve as Commanding Officers, Executive Officer and Operations Officers at Small Boat Stations. They serve in Surfman, Heavy Weather and Tactical Coxswain billets, District and Sector operations and training billets, and are Aids to Navigation and Waterway Management experts. They also serve on Ready-for-Ops (RFO) inspection teams and as CG Auxiliary liaison and Operations Training Officers. BOSN Warrant Officers plan and supervise the preservation of hull, superstructure and spaces on cutters and boats, the maintenance and operation of cargo, buoy handling, anchor and mooring gear, replenishment at Sea operations, the stowage and security of Deck equipment and stores, the maintenance, operation and equipping of small boats, the development and execution of training programs, and the preparation of personnel, materiel and operational records and reports.

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

Warrant officers serving in the specialty of Criminal Investigator (INV) will be in highly visible billets with significant interaction with numerous Coast Guard commands, federal, state, local, and international law enforcement, and intelligence agencies. They are operational specialists in criminal investigations, protective service operations, operational intelligence collection, and technical specialists in the use of related law enforcement and operational intelligence collection equipment. They may serve in supervisory positions at the Resident Agent and Regional Office levels of the Coast Guard Investigative Service (CGIS), supervising subordinates in the conduct of criminal investigations, operational intelligence collection, protective service operations, and law enforcement liaison and task force assignments. They conduct, direct, and supervise criminal investigations, protective service operations, and operational intelligence collection; process crime scenes; collect, process, and preserve physical evidence; serve

as subject matter experts regarding violations of the UCMJ and federal statutes applicable to the Coast Guard; testify in civilian and military court; prepare, submit, and maintain criminal investigative and operational intelligence reports; supervise training programs; and prepare, maintain, and submit personnel and operational records and accounts. Many will function in a role with their assigned unit similar to the role of an executive officer of other Coast Guard operational units. Candidates must possess in-depth knowledge and skills associated with the federal criminal justice system, military justice system, police sciences, criminal justice administration, intelligence operations, Coast Guard supply, administration, and personnel matters, as well as knowledge of military protocol at public and ceremonial affairs as part of Protective Service Operations. Refer to Article 1.D.15.c. of this Manual for qualifications for appointment.

1.D.13.e. Electronics Specialty (ELC)

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

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

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

1.D.13.g. Information Systems Management (ISM)

Warrant Officers serving in the specialty of information systems management are technical specialists in all areas of information systems and information assurance. They serve in Command, Control, and Communication, Computer and Information Technology (C4IT) positions at headquarters, the C4IT Service Center, other Centers of Excellence

(COE) and a variety of other shore units. They are instrumental in the development and supervision of information systems and the enforcement of all information security policy and computer system requirements. Some of the specific areas of responsibility include hardware development, modification, and implementation of application servers, software releases, network hardware (routers, switches, local and wide area networks, etc.), information systems and data security, regulatory compliance, certification and accreditation activities, and organizational information systems standardization, LANS, WANS and encryption devices. They also organize and supervise personnel working in information systems areas including information systems server system management, exchange server management, network management, telephony system management, information assurance, systems security, and general system support and administration.

1.D.13.h Intelligence Systems Specialist (ISS)

Warrant officers serving in the specialty of Intelligence Systems are experts capable of supporting all disciplines of Coast Guard intelligence, including cryptology and counterintelligence. They are experts in aspects of all intelligence systems and processes, in the administration and handling of classified and sensitive information, and the related legal, privacy, and civil liberty protection provisions applicable to intelligence within the National Intelligence Element and the Law Enforcement Intelligence Program. They organize, plan, and supervise the work of personnel engaged in intelligence collection, analysis, production, dissemination, and related administrative functions.

1.D.13.i. Marine Safety Specialist Deck (MSSD)

MSSDs serving in the marine safety field conduct and supervise personnel in vessel safety and security inspections. Additionally they conduct and supervise marine casualty investigations. MSSDs conduct commercial vessel inspections/examinations (marine inspector) and casualty investigations (investigation officer). MSSDs inspect the following: lifesaving equipment, firefighting equipment, bridge and navigational equipment, anchor windlasses and other ground tackle, watertight integrity, structural fire protection, etc. MSSDs also conduct inspections and casualty investigations of main propulsion equipment (gasoline, diesel, boiler, and gas turbine) and auxiliary machinery (ships service and emergency generators, steering gear, evaporators, air compressors and receivers, bilge systems, fire alarms and smoke detection systems, fuel oil handling system, cargo transfer systems, oily water separators, all vessel electrical systems, life boat launching equipment, etc.). Marine inspectors conduct examinations of vessels in dry dock to inspect welding repairs, wood and fiberglass boat repairs, rudder assemblies, propeller and tail shaft examinations, bow/stern thrusters, sea chests, sea valves, etc. They review vessel construction plans to ensure new vessel construction and existing vessel repairs are completed in accordance with approved plans, applicable regulations, and accepted industry standards. MSSDs perform regulatory oversight of complex federal laws, regulations, and treaties. These activities are performed on domestic and foreign small passenger vessels, deep draft freight/tank vessels, mobile offshore drilling units, offshore supply vessels, and oil and chemical/gas barges. In the performance of these duties, they interface with a broad array of private and public

(local/state/federal/international) members at all levels of the marine industry.

1.D.13.j. Marine Safety Specialist Engineering (MSSE)

MSSEs are called upon to be the subject matter experts for engineering systems. They provide the core technical expertise for marine safety and the engineering mentorship for other non-technical members in the program. MSSEs serving in the marine safety field are engineering specialists whose primary focus is commercial vessel inspections/examinations (marine inspector) and casualty investigations (investigating officer). This focus relies heavily on engineering/technical backgrounds for the inspection and casualty investigation of main propulsion equipment (gasoline, diesel, boiler, and gas turbine) and auxiliary machinery (ships service and emergency generators, steering gear, evaporators, air compressors and receivers, bilge systems, fire alarms and smoke detection systems, fuel oil handling system, cargo transfer systems, oily water separators, all vessel electrical systems, life boat launching equipment, etc.). MSSEs review vessel construction plans to ensure new vessel construction and existing vessel repairs are completed in accordance with approved plans, applicable regulations, and accepted industry standards. MSSEs conduct examinations of vessels in dry dock to inspect welding repairs, wood and fiberglass boat repairs, rudder assemblies, propeller and tail shaft examinations, bow/stern thrusters, sea chests, sea valves, etc. MSSEs also inspect the following: lifesaving equipment, firefighting equipment, bridge and navigational equipment, anchor windlasses and other ground tackle, habitability, watertight integrity, structural fire protection, etc. They perform regulatory oversight of complex federal laws, regulations, and treaties. These activities are performed on domestic and foreign small passenger vessels, deep draft freight/tank vessels, mobile offshore drilling units, offshore supply vessels, and oil and chemical/gas barges. In the performance of these duties they interface with a broad array of private and public (local/state/federal/international) members at all levels of the marine industry.

1.D.13.k. Maritime Law Enforcement and Security (MLES) Specialist

Warrant officers serving in the MLES specialty are experts in all aspects of Coast Guard Law Enforcement (LE) missions. The CWO MLES will serve as experts in enhancing LE and Physical Security readiness and will be the professional in Maritime LE and Physical Security policy, operations and training. The CWO MLES will possess specialized skills, expertise and knowledge in a range of maritime tactical operations in high threat law enforcement and counterterrorist events as well as in security zone, harbor defense and antiterrorism/force protection (AT/FP) missions. The CWO MLES will be an expert in CG Board and Response actions, Advanced Weapons Qualifications, and Physical Security. The CWO MLES will develop, manage and oversee plans, policies and procedure for Physical Security, Force Protection, Police Services, and Critical Infrastructure Protection. The CWO MLES will be supervisors of and in charge of CG Police and Security Force operations.

1.D.13.l. Material Maintenance Specialty (MAT)

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

1.D.13.m. Medical Administration Specialty (MED)

Warrant officers serving in the specialty of medical administration are experts in the planning, supervision, and coordination of the general administration of health service facilities, ashore and afloat. MED warrant officers: manage the medical/dental readiness of AD and SELRES personnel; maintain various Medical Information System (MIS) databases; oversee the preparation and management of fiduciary control and accountability of designated funds; responsible for the planned acquisition, emergency replacement, and maintenance of equipment and supplies; are liaisons with other local agencies for health care related matters; are experts in developing disaster and pandemic influenza force health protection preparedness plans; organize correspondence, reports, and records and ensure compliance; train subordinates, conduct classes, and instruct enlisted personnel in their duties; manage administrative oversight in the areas of nonfederal health care, contracts, and blanket purchase agreements (BPAs). MED responsibilities include oversight and assurance that local physical examinations and periodic health assessments (PHA) comply with current standards; MEDs function as the reviewing/approving authority for all non-aviation/non-diving physical exams; serve as the Health Insurance Portability and Accountability Act (HIPAA) local Privacy/Security Official. They serve as the Health Risk Assessments (HRA) Administrator for PHA. Additionally, they serve as the medical event report coordinator ensuring timely submission of reports and adherence with applicable instructions and seek opportunities for cost reduction and enhancement to patient care through billet conversions, resource sharing, contracting, etc.

1.D.13.n. Naval Engineering Specialty (ENG)

Warrant officers serving in the specialty of naval engineering are operational and

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

1.D.13.o. Operations Systems Specialist (OSS)

Warrant officers serving as Operations Systems Specialists are operational and technical specialists in C4IT systems, Sector Operations and Information Security (INFOSEC), and Operations Security (OPSEC). OSS Warrant Officers: Serve as District Security Managers, Command Security Officers and Planning Officers; are experts in C3I systems capabilities, limitations and reliability; organize and supervise personnel at Sector Commands and provide technical advice and information concerning security practices, and advise Commands on the Coast Guard's Common Operating Picture (COP).

1.D.13.p. Personnel Administration Specialty (PERS)

Warrant officers serving in this specialty are technical experts in unit and personnel administration. They are billeted in critical positions at the organizational and unit level in the management and administration of active duty, reserve, civilian, auxiliary and contract personnel. At the organizational level they serve in senior level positions as policy and procedure experts, assignment officers, program managers and force managers. At the unit level they serve as senior advisors to the command cadre, and provide guidance, expertise and supervision to YN as direct supervisors as branch chiefs, department heads and division officers. They insure the necessary flow of information within their units concerning career planning, professional development, and leadership initiatives. They provide individual counseling on career opportunities, incentives, military rights, pay and benefits. Their responsibilities include oversight and coordination of unit administrative and personnel support functions including: pay and benefits; educational services; housing; uniform regulations; morale, well-being and recreation; general mandated training; decedent affairs; military justice; mutual assistance loans; awards; evaluations; personnel and physical security; urinalysis; and the weight program. They also administer federal travel regulations with regards to travel orders, transportation, mandated training, shipment of household goods, and claims investigations and processing. Additionally, they act as Executive Officers of enlisted personnel at large Sectors and PSSU's.

1.D.13.q. 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.r. Weapons Specialty (WEPS)

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

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

1.D.14.a. Applications

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

1.D.14.b. Minimum Eligibility Requirements

- (1) Other Armed Forces and Civilian Sector. The eligibility requirements will be specified in the soliciting media.
- (2) Coast Guard Enlisted Personnel. Refer to Article 1.D.2 of this Manual for guidance.
- (3) Bandmaster Specific Qualifications. Must meet the qualifications for warrant specialty (Bandmaster) as outlined below.

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

- (1) Technical Qualifications.
 - (a) Produce a musical program by selecting and adapting appropriate musical compositions or by arranging a musical score.
 - (b) Demonstrate the ability to conduct a military band during a public performance.
 - (c) Be knowledgeable of 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 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) Application Submission. Upon solicitation by the Coast Guard for applications for appointment to warrant grade (Bandmaster), eligible personnel desiring appointment should submit applications to Commander (CG PSC-OPM).
- (2) Application Contents. The application file shall consist of the following:
 - (a) Letter of Application. 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), Form CG 5310A, prepared in accordance with Article 1.D.7.b. of this Manual.

1.D.14.e. Appointment Board

- (1) Convening the Board. The convening date of the board will be announced on the solicitation ALCGPSC 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 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) General Bandmaster Skills. 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) Supervisory Skills. 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) Planning Skills. The warrant Bandmaster must have special skill for 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) General Administrative Skills. 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) Communication Skills. 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) Board Considerations. The recommendation file and personnel records of all eligible candidates will be considered by an appointment board appointed by Commander (CG PSC-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 recommend the candidate for appointment.
- (b) Board Phases. The Board shall be held in two phases.
- [1] 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.
- [2] 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) Board Approval. The Board shall submit its report as outlined in Article 1.D.8.f. of this Manual to the Commandant for approval, modification, or disapproval.
- (b) Candidate Notification. 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 ALCGPSC message. Individual notification will not be made. All primary candidates found not fully qualified by the Board will receive a letter from Commander (CG PSC-OPM) 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. of this Manual.

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

Procedures for the appointment ceremony are outlined in Article 1.D.12. of this Manual.

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 pay grades E-6 through E-9 are considered eligible for recommendation to CWO (INV) if:
 - (a) Time Served as Special Agent. They have served two years as a Special Agent computed to 1 January of the year in which the Chief Warrant Officer (CWO) Appointment Board convenes. The two year requirement shall commence upon reporting to their assigned CGIS duty station following successful graduation from the Federal Law Enforcement Criminal Training program. Waivers will not normally be granted.
 - (b) Exceptions to General Requirements. Meet the general requirements outlined in Articles 1.D.2 and 1.D.15.c. of this Manual with the following exceptions:
 - [1] Members currently serving as Special Agents in pay grades E-6 through E-9 are not required to be CWO eligible in their current rating (e.g. MK, YN, AST, etc) to apply for CWO (INV). 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 two years in paygrade E-6 by 1 January of the year in which the Chief Warrant Officer (CWO) Appointment Board convenes.
 - [2] Sea duty requirements in current rating are waived if applying for CWO

(INV).

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

- (2) Application Procedures. 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. of this Manual.

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

(1) Technical Qualifications.

- (a) Must be a graduate of a Federal Law Enforcement Criminal Investigator Training program. (Applies only to active duty applicants.)
- (b) Be knowledgeable in Coast Guard authority and jurisdiction and maritime law enforcement operations.
- (c) Be knowledgeable in Coast Guard operational intelligence in support of Coast Guard operations and national intelligence collection requirements.
- (d) Be knowledgeable in the use of law enforcement and operational intelligence collection equipment.

(2) Administrative Qualifications.

- (a) Security Clearance. Must have successfully passed a Single Scope Background Investigation (SSBI) for a top secret security clearance and maintained eligibility throughout assignment to CGIS.
- (b) Vision and Hearing. Must possess normal color vision and hearing. The normal color perception eligibility requirements do not apply to existing or former special agents who successfully served in a special agent position prior to 13 July 2001.
- (c) Administrative Skills. Have an understanding of the preparation of standard Coast Guard correspondence and the policies for maintenance of records and files.
- (d) Financial Skills. 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

Commander (CG PSC-OPM-1) will publish, by ALCGPSC message, application procedures and deadlines each promotion year cycle. 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 the published message guidance and Article 1.D.3. of this Manual. Only the Regional Special Agents in Charge (SACs) are authorized to submit the final endorsement. Members must submit their E-Resume in time to obtain the Regional Special Agent in Charge's E-Interview recommendation by the 01 January deadline date.

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

- (1) Minimum Requirements. Personnel requesting a lateral change in specialty to CWO (INV) shall follow guidance outlined in Article 3.B.9. of this Manual and meet the following minimum requirements:
 - (a) Have completed a minimum of one year of college (30 credit hours) at an accredited institution, verified by college transcript. A waiver of this requirement will be considered if special circumstances warrant a waiver.
 - (b) Have no prior felony convictions or any domestic violence convictions subject to provisions contained in the Lautenberg Amendment.
 - (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) Vision and Hearing. 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) Obligated Service. If approved for lateral to CWO (INV), agree to remain on active duty for a period of four years from successful completion of the Criminal Investigator Training Program at the Federal Law Enforcement Training Center. (Applies only to active duty applicants.)
 - (2) Request for Lateral Package. All current warrant officers desiring a lateral to the CWO (INV) specialty shall provide the following information:
 - (a) A lateral letter request to Commander (CG PSC-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. of this Manual, no more than two pages in length and a copy of the requester's most recent Officer Evaluation Report (OER), Form 5310.
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1.D.16. Appointment as Specialty Force Manager (SFM)

1.D.16.a. Responsibilities

- (1) Chief Warrant Officer Specialty Force Managers (SFM) are senior members of a chief warrant officer specialty assigned within a program office at Coast Guard Headquarters. The SFMs provide advice on specific issues and changes that impact not only the specialties they manage, but coordinate force management initiatives that impact the entire CWO corps. SFMs manage the structure of their workforce and ensure that personnel are prepared to meet current and future missions to coincide with program goals.
- (2) A Specialty Force Manager is the principle advocate for their specialty and advisor to senior policy and capability officers on matters concerning CWO specialties and workforce. The SFMs are responsible for oversight within their programs, which includes the number of personnel in the specialty, location of billets, setting competency standards, developing job and promotion qualifications and content of formal and on-the-job training/professional development. SFMs have a crucial role in unit staffing and communications of specialty and program issues within the organization. These Specialty Force Managers are high visibility positions that interact with senior leadership and management positions at the directorate and Assistant Commandant levels and must serve as role models, while exemplifying and promoting the Coast Guard's Core Values of Honor, Respect, and Devotion to Duty.

1.D.16.b. Application and Selection Procedures

- (1) Announcement. Commander (CG PSC-OPM-2) will provide anticipated SFM

vacancy announcements to the CWO corps via the officer shopping list.

- (2) Application Process. Those eligible CWOs desiring assignment to a SFM position shall submit an e-resume requesting assignment. Applicants shall include in the remarks section of the Direct Access (DA) E-Resume a statement as to why they request assignment to a SFM position and what experience the applicant has to offer in the SFM position. The e-resume is required to be submitted via the applicant's chain of command. Command endorsements should address the applicant's ability to perform the duties and responsibilities as a SFM, specifically their effective writing and project management skills.
- (3) Selection. Commander (CG PSC-OPM-2) will work with the specific program and workforce management staffs to select applicants.
- (4) Tour-Length. Members who are completing or have been ordered to a standard tour as a Specialty Force Manager may extend beyond 30 years' active service for a period not to exceed completion of a standard tour as the SFM.

1.D.16.c. Minimum Eligibility Requirements

- (1) Pay Grade. Must currently be serving in or have been selected for promotion to W-4 pay grade.
- (2) Performance. Have an exceptional performance record and demonstrated a breadth of experience gained from a varied assignment background that includes staff and field level positions.
- (3) Discipline. May not have had an alcohol incident, non-judicial punishment, letter of reprimand, or misdemeanor conviction (federal, state or local) in the past eight years.
- (4) Military Bearing. Exemplify an image of sharp military bearing and present a confident image with a smart appearance. Must be in compliance with weight standards requirements contained in reference (f), Coast Guard Weight and Body Fat Standards Program Manual, COMDTINST M1020.8 (series).
- (5) Obligated Service. Must obligate a minimum of two years active service in order to fill the duty as a SFM.

1.D.16.d. Duties and Responsibilities

The duties and responsibilities listed below are not intended to be all inclusive, or compulsory.

- (1) Identify performance needs, competencies and standards within their respective specialty(ies) and the entire CWO workforce.

- (2) Identify specialty specific skills/competencies for each billet within their workforce.
 - (3) Monitor programmatic concerns identified between units and the Coast Guard Personnel Service Center (CG PSC-OPM).
 - (4) Conduct periodic Occupational Analysis of their specialty(ies).
 - (5) Establish/maintain communication channels for the CWO workforce.
 - (6) Develop program and Human Resource (HR) system knowledge in order to successfully provide insight regarding future requirements.
 - (7) Provide service/program specific information to the annual CWO selection and promotion board processes. In addition, provide information to the CWO Command Afloat Screening Panel (CASP) and other CWO Boards and Panels as needed.
 - (8) Provide specialty specific information pertinent to performance issues of a CWO being reviewed under the provisions of Article 1.A.20. of reference (c), Military Separations, COMDTINST M1000.4 (series).
 - (9) Monitor qualifications and eligibility requirements for the CWO accession process.
 - (10) Gather, analyze and catalog pay grade, Time in Service (TIS), Time in Grade (TIG), Occupational Analysis, and American Council on Education (ACE) data and recommendations. Identify trends and formulate improvements and enhancements that align roles, missions, needs, and assessments of the Specialties and CWO workforce with future needs of the Coast Guard.
 - (11) Provide programmatic input to each request for a lateral change in Warrant specialty in accordance with provisions of Article 3.B. of this Manual.
 - (12) Provide programmatic input to Commander (CG PSC-OPM) for all members being considered for reversion from temporary officer status to Chief Warrant Officer in accordance with Chapter 1 of this Manual.
 - (13) Review and advise program regarding position reprogramming, as a result of Semi-Annual Reprogramming Request (SARR) and out-year Resource Proposals (RP).
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1.E. Appointment as U. S. Coast Guard Cadet

1.E.1. General

1.E.1.a. Statutory Authority

By regulations appearing at 49 CFR 1.46(b), the Secretary of the Department of Homeland Security has delegated statutory authority to the Commandant of the U. S. Coast Guard to prescribe regulations on cadet appointments (14 USC 182). This section exercises that authority. To facilitate administering the appointment process, the following delegations of authority are made:

- (1) The Superintendent, U. S. Coast Guard Academy, is authorized to tender appointments as Cadet, U. S. Coast Guard; and
- (2) The Superintendent, U. S. Coast Guard Academy, is authorized to appoint a board of Coast Guard officers to be known as the Cadet Candidate Evaluation Board, whose duties are set forth in Article 1.E.4.b. of this Manual.

1.E.1.b. Coast Guard Academy

Cadets are appointed in the Coast Guard for education and training to prepare them to become commissioned officers in the Service. The Coast Guard Academy, located at New London, Connecticut, is maintained by the Government for the practical training and theoretical education of young men and women to enable them to enter upon the duties of a junior officer in the U. S. Coast Guard.

1.E.1.c. Appointment as a Cadet

The Academy tenders appointments solely on the basis of an annual nationwide competition. There are no congressional appointments nor quotas for any state, district, or special category. The competition for appointment as a cadet is based on the candidate's high school rank, performance on either the College Board Scholastic Aptitude Test (SAT I) or the American College Testing Assessment (ACT), and leadership potential as demonstrated by participating in high school extracurricular activities, community affairs, or part-time employment. Any man or woman, civilian or military, who meets the requirements set forth in Article 1.E.2. of this Manual is eligible to apply for appointment as cadet, U. S. Coast Guard. No eligibility requirements may be waived, except as noted.

1.E.2. Eligibility Requirements

1.E.2.a. Age

Must have reached the age of 17 but must not have reached the age of 23 by 01 July of the year admitted as a cadet.

1.E.2.b. Citizenship

Must be a United States citizen at the time of entry to the Academy. (Citizens of foreign countries authorized by law and nominated by mutual agreement between the United States and their native country are exempt from this requirement.)

1.E.2.c. Marital Status

Must be unmarried and have no legal obligations resulting from any previous marriage.

1.E.2.d. Character

Personal background must demonstrate positive evidence of good moral character, responsibility, trustworthiness, and emotional stability.

1.E.2.e. Height and Weight Requirement

Must be between five feet and six feet six inches with weight suitable to physique. Maximum height is waiverable to six feet eight inches by the Commandant.

1.E.2.f. Physical Aptitude

- (1) Fitness Standards. Life as a Coast Guard cadet and later as an officer is physically demanding. It requires physical fitness and stamina that lead to a healthy lifestyle. To ensure that cadets meet fitness standards, they take the physical fitness examination (PFE) each semester. Cadets should prepare for this challenging aspect of Academy life.
- (2) Physical Fitness Examination (PFE). The PFE is a 500 point test with a minimum passing score of 250. It consists of five elements worth 100 points each:
 - (a) Pull-ups for men and women or incline pull-ups for women
 - (b) Two minute curl-ups or sit-ups
 - (c) Standing long jump
 - (d) 300 yard shuttle run
 - (e) 1.5 mile run

Note: Pull-ups, curl-ups, long jump, and 300 yard shuttle run must be administered in order with a maximum of five minutes rest period between events. The 1.5 mile run must be performed no sooner than one day and no longer than seven days after the first four events.

- (3) Actions upon Failing the PFE. Cadets reporting to the Academy will take the PFE during their first week and during the academic semester. At the first administration, any cadet who receives a score of less than 200 points will be recommended for immediate disenrollment. Cadets who initially score between 200 and 249 points will be assigned to a physical fitness advisor and be issued a specific developmental exercise prescription. If they do not pass the PFE by the beginning of their second academic term, they will be recommended for disenrollment. Later, cadets who fail two consecutive PFEs; i.e., score below 250 points, will also be recommended for disenrollment.

1.E.2.g. Scholastic Requirements

Must be a high school graduate or senior assured of graduation from an accredited high school, preparatory school, or college. Except for courses completed by correspondence for which an accredited school has granted a certificate, correspondence schools do not meet this paragraph's requirements and their certificates will not be accepted. Fifteen units of study are required.

- (1) Mandatory Courses. The courses listed below, comprised of six units, are mandatory:
 - (a) Three mathematics courses, including algebra and plane or coordinate geometry, or their equivalent
 - (b) Three courses in English (I, II, and III)
- (2) Course Credit. Both high school and college credits may be submitted. Because of the great variation in academic standards and credit requirements among the schools, the Superintendent reserves the right to evaluate each academic record submitted on its individual merits. In general, college credits and high school credits from accredited institutions will be given the same weights for the same amount of work, and in no case will one semester of college work be considered equivalent to more than one unit of high school work. The Superintendent reserves the right to reject any applicant whose assigned grades create doubt as to ability to successfully pursue the Academy course.

1.E.2.h. Medical Requirements

- (1) Service Academy Medical Examination. Candidates must pass a Service Academy Medical Examination before receiving an appointment. Medical examinations will be authorized by the Academy to candidates as their records become more complete. The Coast Guard Academy Medical Examination satisfies the requirement for all Service Academies and four-year ROTC Scholarships. Medical examinations are scheduled and coordinated by the Department of Defense Medical Examination Review Board (DODMERB). The medical requirements or appointment as a cadet are published in reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).

- (2) Waivers. No waivers of medical requirements are granted to applicants. Should there be any questions regarding cause for disqualification, this information may be obtained by writing to DODMERB, 8034 Edgerton Dr. Ste 132, USAF Academy, CO 80840-2200, Attn: USCG Representative. A cadet must pass a second medical examination upon reporting to the Academy.
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1.E.3. Application

1.E.3.a. Application for Testing

All candidates for admission to the Coast Guard Academy must take either the College Board Scholastic Aptitude Test (SAT I) or the American College Testing Assessment (ACT) and bear all expenses.

- (1) Use of the SAT. To register for the SAT, obtain a current copy of the College Board Admissions Testing Program either at PO Box 592, Princeton, NJ 08542-0592, or PO Box 1025, Berkeley, CA 94701-1025. The SAT must be taken prior to or including the December test date of the year in which application is made for the Academy. Registration for the December SAT closes in late October of each year. The Coast Guard Academy must be named as one of the colleges to receive the test scores. The Academy's code number for College Board is 5807.
- (2) Use of the ACT. If an applicant desires to use the ACT, a registration packet should be obtained from the Registration Department, American College Testing Program, PO Box 168, Iowa City, IA 52243-0168. The ACT must be taken prior to or including the December test date of the year in which application is made to the Academy. Registration for the last acceptable ACT test closes in late October of each year. The Coast Guard Academy must be named as one of the colleges to receive the test scores. The Academy's ACT code is 0600.
- (3) Registration Timeline. Applicants must register prior to the deadline established by either the College Board or American College Testing Assessment for the last acceptable test administration. The scores from tests subsequent to the December administration will not be accepted.

1.E.3.b. Application for Appointment

- (1) Formal Application. Formal application must be made to the Coast Guard Academy. Obtain the initial application for appointment by writing directly to Director of Admissions, U. S. Coast Guard Academy, 31 Mohegan Avenue, New London, CT 06320- 8103, or Commander (CG PSC) or Commanding Officer (CGRC). The complete application must be postmarked by 15 December to receive consideration for the class entering the following summer.
- (2) Supplemental Forms. The Academy will mail these seven supplemental forms to applicants in September; applicants must complete and return the forms to the

Director of Admissions, U. S. Coast Guard Academy, by 15 January:

- (a) High school transcript
 - (b) Candidate activities
 - (c) English instructor evaluation
 - (d) Mathematics instructor evaluation
 - (e) Physical education instructor or coach evaluation
 - (f) Background information
 - (g) Essay questions
-

1.E.4. Selection

1.E.4.a. Purpose, Scope and Form

- (1) Admissions Division's Guiding Principals. In meeting the Academy's goal of producing a graduating class which, taken as a whole, meets the program, diversity, and quality objectives of the Coast Guard, the Admissions Division follows procedural and philosophical directives in recruiting and admitting candidates to the Academy.
- (2) Characteristics Desired in Selection of Candidates. The Academy ultimately is responsible for selecting and developing commissioned officers to serve in the U. S. Coast Guard. In pursuing this mission, the Academy seeks applicants with a wide variety of desired characteristics, including the motivation and potential to complete the challenging four-year program. From the applicant pool, the Academy appoints well-rounded candidates who demonstrate the many qualities of successful cadets and officers. These appointees are also individuals who will enrich campus life with a variety of differing perspectives and backgrounds reflecting the diverse aspects of American society.
- (3) Academy Environment. Once enrolled, the cadet's intellectual and professional development is supported and enhanced in an environment that stimulates a high level of integrity, commitment, respect, discipline, and camaraderie. He or she will experience a sound undergraduate education along with professional development that enables a graduate to assume duties immediately as a junior officer afloat.
- (4) Scope of Selection. The Academy's broad program of intellectual, professional, physical, and character development prepares the Coast Guard's and America's future leaders. Thus, the Academy seeks to enroll students of high moral character with a well-rounded background of academic, leadership, extra-curricular, and athletic

preparation.

- (5) Admissions Process. The admissions process uses both objective and subjective criteria. Objective criteria include an applicant's high school rank (HSR) and standardized test scores (SAT I or ACT). The subjective component is a score determined by the Cadet Candidate Evaluation Board (CCEB). Unlike the other military academies, Congressional nominations or appointments are not required.
- (6) Composition and Considerations of the CCEB. The CCEB is comprised of panels that include three Academy faculty and staff members. These panels individually evaluate a candidate's total record, paying particular attention to strength of transcript, essays, demonstrated leadership, extracurricular activities, employment, community service, special talents, awards, recommendations, etc.
- (7) Candidate's Principal Score. The combination of HSR, standardized test scores, and CCEB scores results in the Candidate's Principal Score (CPS).
- (8) Principle Appointment Score. Candidates who are medically qualified and meet or exceed the Principal Appointment Score (PAS) receive an appointment. The PAS is a cut-off established each November by counting many variables, including historical data, societal trends, number of applications expected, size of entering class based on graduation projections, etc. If openings exist after the Principal Appointment list is exhausted, the CCEB considers candidates from the list of highly qualified alternates (those with scores within 250 points of the PAS).
- (9) Recompeting upon Failure to Receive an Appointment. U. S. Coast Guard Cadet appointments are offered to candidates who meet or exceed the PAS established for that year's entering class. A candidate who fails to receive an appointment may compete in subsequent years without prejudice, provided he or she meets age and physical qualifications. The Commandant annually re-evaluates the number of appointments tendered and adjusts it in accordance with Service needs.
- (10) The Candidate's Principal Score (CPS) and Its Function.
 - (a) Purpose of the CPS. It is difficult to compare individuals effectively, particularly in a highly selective environment, without some measurement capability. Designed to represent a wide variety of a candidate's aspects, including standardized test scores, the CPS is carefully calculated to provide the best numerical representation of an applicant.
 - (b) Composition of the CPS. The CPS is comprised of the CCEB score, representing 40%; the HSR, 30%; the SAT I or ACT mathematics portion, 20%; and the verbal portion, the final 10%. To establish an accurate numerical composite of scores, the CCEB evaluation converts HSR (adjusted if needed depending on class size, school competitiveness, and strength of the student's curriculum) and the ACT score to a numerical score corresponding to the SAT I

scale (200 to 800 points). Only the highest SAT I or ACT score is used for candidate evaluation. The CCEB evaluation allows subjectivity to balance the objectivity of the HSR and test scores; the latter cannot accurately measure a candidate's motivation, maturity, determination and other objective qualities.

(c) Minimum Academic Qualifications. To be evaluated by the CCEB, a candidate must meet minimum academic qualifications, i.e., he or she must have a combined HSR and standardized test score minimum of 3350 points. A candidate who meets or exceeds this standard is deemed a Finalist.

(d) Sample Candidate: HSR = 5th out of 100 = 675 points; SAT scores: 670 Mathematics and 600 Verbal

| | | |
|-----------------|-----------|--------------|
| 30% HSR | = 3 x 675 | = 2025 |
| 20% Mathematics | = 2 x 670 | = 1340 |
| 10% Verbal | = 1 x 600 | = <u>600</u> |
| Total | = | 3965 |

This score qualifies the candidate as a Finalist.

CCEB scores: 700, 650, 600
 40% CCEB = 4 x (700 + 650 + 600)/3 = 2600

Finalist Score + CCEB Score = 6565, the candidate's Principal Score.

If the Principal Appointment Score is set at 6550, for example, the Academy would offer this candidate a full appointment.

A candidate scoring between 6300 and 6550, would place on the alternate list.

(e) Determining Potential Beyond the CCEB. It is important to note CCEB scores are relatively subjective and the admissions process, though heavily numerical, is not an exact science. Determining an individual's potential capacity to perform and become a leader is a most difficult responsibility. Therefore, highly dedicated, experienced members using carefully chosen criteria determine which candidates likely will best serve and meet the Coast Guard's needs. The admissions criteria are re-examined annually and compared with available cadet performance and retention data as well as post-graduation performance.

1.E.4.b. Selection Process

The selection process consists of these three parts:

(1) Academic Evaluation. The academic evaluation portion of the competition, representing 60 percent of a candidate's total score, is determined by combining high

school rank converted to a standard score with either the SAT or ACT scores using the following weighting factors:

| If SAT Scores Are Higher: | If ACT Scores Are Higher: |
|--|--|
| SAT Verbal x 1 | ACT English x 1 |
| SAT Mathematics x 2 | ACT Natural Science x 2 |
| High School Class Rank Converted Score x 3 | ACT Mathematics x 3 |
| | High School Class Rank Converted Score x 4 |

The Academy accepts the best of either the SAT or ACT scores of any test taken before or including the December test date of the year in which applying for the Academy. Applicants with the highest scores in the academic evaluation are considered "finalists" in the competition and notified of their status in February. Each finalist's complete file is submitted to the Cadet Candidate Evaluation Board.

(2) Cadet Candidate Evaluation Board.

(a) Board Considerations. The Academy Superintendent designates a board of Coast Guard officers who assign an evaluation mark to each candidate satisfying the minimum score requirements in the competitive examination. The evaluation includes all the factors known to influence success as a cadet and officer. The marks are based on the candidates' relative merit as shown by tests, questionnaires, and documents in Article 1.E.3. of this Manual. The board's decision is based on this factual objective information:

- [1] The candidates' attitude toward assigned tasks and willingness to work as shown by the consistency and pattern of previous school work
- [2] The candidates' previous extracurricular and athletic interests and experience with particular attention to evidence of leadership and teamwork
- [3] The candidates' personal qualities as shown by their reference questionnaire, evaluations, and comments by their high school counselor, principal, teachers, and similar officials
- [4] The candidates' score on one or more tests of emotional stability, social adjustment, vocational interest, study habits, background, and personality characteristics as may be administered for the purpose

(b) Board Duties and Considerations. The board has the duty to obtain the best possible cadets and officers for the Coast Guard. It is therefore in a candidate's

interest to cooperate fully in supplying the board with all relevant information on the factors listed in this paragraph. The board's judgment is final and subject to review only by the Commandant's order. To establish a list of eligible candidates and eliminate those markedly deficient in one or more phases of the examination, the board will not consider candidates who fail to meet the minimum test requirements. Candidates whose standard scores on required tests and measures fall below the prescribed individual and/or combined test level are eliminated from further consideration.

(c) Computing the Final Mark. Each candidate's final mark is computed by averaging the standard weighted scores provided through the test marks and the Cadet Candidate Evaluation Board rating.

(d) Waivers. NO WAIVERS OF EDUCATIONAL OR PHYSICAL REQUIREMENTS ARE GRANTED TO APPLICANTS.

(3) Medical Examination. A Service Academy Medical Examination is required before receiving an appointment. (See Article 1.E.2.h. of this Manual.)

1.E.4.c Required Deposit

On appointment, each candidate will be required to pay an entrance fee to offset the cost of initial clothing, books and school supplies, computers, and equipment. Currently, this fee is \$3000. Payment of some, or all, this amount may be deferred in cases of extreme need.

1.E.4.d. Subsequent Appointments

All former cadets who request readmission, except those who voluntarily resigned due to hardship, must compete for admission in the same manner as those candidates who have not attended the Academy.

1.E.4.e. Hardship Readmission

Former cadets who resigned due to unavoidable hardship which subsequently is resolved may be granted readmission. The Superintendent, Coast Guard Academy shall prescribe readmission requirements and procedures.

1.E.4.f. Service Obligation

(1) Service Agreement. When appointed, a cadet agrees to serve five years as a commissioned officer in the U. S. Coast Guard on graduation from the Academy. All cadets are required to sign an agreement with the consent of their parent or guardian, if a minor, stating they will fulfill this obligation.

(2) Cadets Who Do Not Accept a Commission. Cadets who have completed their course

of instruction and are qualified to accept a commission but do not do so will be transferred to the Coast Guard Reserve and ordered to active duty for four years. The four-year obligation commences on dismissal.

1.E.4.g. Voluntary Resignation of Appointment

The Superintendent, Coast Guard Academy may accept the voluntary resignation of a cadet's appointment.

1.E.4.h. Involuntary Termination of Cadet Appointment and Appeal Authority

The Superintendent, Coast Guard Academy has the authority to terminate a cadet's appointment on the recommendation of an Executive Board, the Dean of Academics or the Commandant of Cadets. The decision by the Superintendent, Coast Guard Academy to dismiss a cadet may be appealed to Commandant (CG-1). The Superintendent, Coast Guard Academy shall prescribe the appeal procedures.

1.E.4.i. Terminating a Cadet Appointment

When a cadet's appointment is terminated either voluntarily or involuntarily, one of these actions normally will be completed depending on the cadet's status before accepting an appointment and the length of time he or she held the appointment.

(1) Third and Fourth Class Cadets.

- (a) Cadet with no Prior Armed Forces Obligation. A cadet who accepted a cadet appointment without any prior obligation to the Armed Forces of the United States who either resigns or is dismissed will be discharged from active service with no military obligation.
- (b) Cadet Who Was a Member of the Coast Guard or Coast Guard Reserve. Cadets who entered the Academy as a member of the Coast Guard or Coast Guard Reserve revert to their prior status and complete the remainder of their duty obligation. All time served in a cadet status is counted as service under any preexisting enlistment or service obligation.
- (c) Cadet Who Was a Member of Another Service. Cadets who entered the Academy from another Armed Force revert to their prior status and transfer to their former branch of Service to complete the remainder of their duty obligation. All time served in a cadet status is counted as service under any preexisting enlistment or service obligation.

(2) First and Second Class Cadets.

- (a) Cadets with a Service Obligation to any Branch of the Armed Forces. Cadets who entered the Academy with an obligation to serve in any branch of the Armed

Forces of the United States revert to their previous status and transfer to their former branch of Service to complete the remainder of their duty obligation. All time served in a cadet status is counted as service under any preexisting enlistment or service obligation.

- (b) Cadet with no Prior Armed Forces Obligation. First and second class cadets who accepted an appointment without any prior obligation to the U. S. Armed Forces who resign, are disenrolled, or summarily dismissed transfer to the "Individual Ready Reserve (RJ)" in the quartermaster second class or third class rating respectively (seaman if disenrolled due to suitability for service reasons), for a time equal to their time as a cadet. In special cases, if the Superintendent determines a cadet is not suited to any type of military service, he or she may recommend the Commandant give the cadet no Reserve commitment or obligation.

1.E.4.j. Requests for Active Duty

Any cadet whose appointment terminates before he or she completes the course of instruction who was tendered a cadet appointment without any preexisting obligation to the Armed Forces of the United States may request from Commandant (CG-12) an extended active duty agreement for up to four years as a Coast Guard Reservist. The Superintendent, Coast Guard Academy determines the final appropriate rating but normally the appropriate ratings for the individual making such a request are:

| Cadet Class | Appropriate Rating |
|--------------------|--------------------|
| Cadet First Class | BM2 |
| Cadet Second Class | BM3 |
| Cadet Third Class | SNBM |
| Cadet Fourth Class | SA |

1.E.5. Responsibilities

The competition for appointment as Cadet, U. S. Coast Guard, is widely publicized for the purpose of attracting a large well qualified applicant pool.

1.E.5.a. Commandant’s Responsibilities

The Commandant establishes Academy admissions policies and procedures.

1.E.5.b. District Commander’s Responsibilities

District commanders coordinate cadet recruiting and awareness activities in their districts with the Academy Superintendent. They develop district programs and support Academy programs to recruit a large, well qualified, career-motivated applicant pool. Further, district commanders assist the Academy in appointees’ sponsor and follow-up programs

and by 15 June annually submit to the Superintendent a Report of Cadet Recruiting and Awareness Programs, a report in letter form containing this information:

- (1) Schools Visited. List of high schools and preparatory schools visited for Academy recruiting or awareness purposes. Suggested items are listed below:
 - (a) High School Name
 - (b) City and State
 - (c) Contact Personnel
 - (d) Total Attendees
 - (e) Date Visited
 - (f) Return Visit Recommended
 - (g) Remarks (significant minority population, name of outstanding candidate for Academy follow up, etc.)
- (2) Recruiting and Awareness Programs Conducted. List of Academy recruiting and awareness programs conducted (such as presentations to civic or youth groups, television or radio appearances, special programs and visits to Coast Guard units, etc.).
- (3) Recommendations for Improvement. Recommendations for improving Academy and district recruiting efforts.
- (4) Minority Efforts. Specific efforts in minority awareness.

1.E.5.c. Academy Superintendent's Responsibilities

- (1) Recruiting Programs. Develop and initiate Academy recruiting programs in cooperation with the district commander.
 - (2) Information Distribution. Prepare and distribute necessary Bulletins of Information, posters, television and radio spots, and other media releases to support the Admissions Program.
 - (3) Field Support. Encourage and support the district commanders and field units in furthering cadet recruiting efforts and Academy awareness programs.
 - (4) Cadet Specific Responsibilities. Process, evaluate, select, and appoint candidates as Cadet, U. S. Coast Guard.
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1.F. Appointments to U. S. Service Academies and Eligibility of Armed Forces Members' Sons and Daughters

1.F.1. General

- (1) Eligibility of Sons and/or Daughters of Armed Forces Members. The opportunity to compete in examinations for cadet appointments at the U. S. Military Academy, U.S. Naval Academy, and U.S. Air Force Academy is available to sons and/or daughters of certain members of the Armed Forces.
- (2) Presidential Appointments. The President makes appointments to the Military, Naval, and Air Force Academies to sons and/or daughters and adopted sons and/or daughters of officers and enlisted personnel of Armed Services Regular components because that such personnel, owing to the nature of their duties, are unable to establish permanent residence and thus be in a position to secure nominations for their sons and/or daughters from their Senators and Representatives. Adopted sons and/or daughters are eligible if they were adopted before their fifteenth birthday.
- (3) Academy Appointments. In addition, appointments are provided at each of the three Academies for sons and/or daughters of members of U. S. Armed Forces and all their components who were killed in action, have died, or may hereafter die of wounds or injuries received, disease contracted, or preexisting injury or disease aggravated in active service:
 - (a) During World War I or World War II (as each is defined by laws providing Service-connected compensation or pension benefits for veterans of World War I and II and their dependents), or
 - (b) On or after 27 June 1950 and before 1 February 1955. Qualified sons and daughters of Medal of Honor winners are offered appointments on a noncompetitive basis.

1.F.2. Requirements

Some of the general requirements for applicants are:

- (1) Age. To be eligible for appointments a candidate must have attained the age of 17 years and must not have reached the age of 22 on 01 July of the year of proposed admission.
- (2) Citizenship. A candidate must be a citizen of the United States.
- (3) Marital Status. A candidate must not be married nor ever have been married.
- (4) Height. Candidates for service academies must meet these height requirements.

| School | Minimum Height | Maximum Height |
|-------------------------|-----------------------|-----------------------|
| U. S. Military Academy | 5'6" | 6'6" |
| U. S. Naval Academy | 5'4" | 6'6" |
| U. S. Air Force Academy | 5'4" | 6'6" |

1.F.3. Procedure

Applications for admission in any given year should be mailed before 15 February so that arrangements can be made to take the competitive examination in March. Applicants should supply the name, rank or rating, service number, and branch of the Service of parent and the full name, home address, present address, and date of birth of the applicant. Deceased veterans' sons and daughters also should submit a brief statement about the time, place, and cause of death; and the claim number assigned to the veteran parent's case by the Veterans Administration. An adopted son and/or daughter should submit evidence indicating date of adoption. Address appointment applications as follows:

| School | Address |
|-------------------------|---|
| U. S. Military Academy | Adjutant General Department of the Army Washington, DC 20310 Attention: Military Academy Section |
| U. S. Naval Academy | Chief of Naval Personnel Navy Department Washington, DC 20370 |
| U. S. Air Force Academy | Director of Admissions United States Air Force Academy 2304 Cadet Dr. Ste 2400 USAF Academy, CO 80840-5001 |

1.G. Appointing Regular Coast Guard or Navy Officers to the Coast Guard Reserve

1.G.1. General

Under regulations prescribed by the Secretary, a former commissioned officer of the Coast Guard or Navy may, if otherwise qualified, be appointed as a Reserve officer of the Coast Guard. (10 USC 12206)

1.G.2. Application Procedures

1.G.2.a. Who May Apply

- (1) Former Coast Guard or Navy Officers. Former officers of the Coast Guard or Navy who are within one year of the effective date of resignation of their commission or discharge (14 USC 744). If more than one year has passed since the effective date of resignation or discharge, then the provisions of Article 1.C. of this Manual apply.
- (2) Coast Guard Officers Upon Resignation. Coast Guard officers who submit an unqualified resignation in accordance with Article 1.A.5. of reference (c), Military Separations, COMDTINST M1000.4 (series).
- (3) Regular Officer Twice Non-Selected. Regular officers who have been twice non-selected on the active duty promotion list (ADPL), who are not retirement eligible, and are scheduled for discharge.

1.G.2.b. Application Procedures

- (1) Qualified applicants shall write a letter to Commander (CG PSC-RPM) requesting a Reserve commission.
- (2) Coast Guard officers who resign their active duty commission via letter may request a Reserve commission within the text of their resignation letter. Copy Commander (CG PSC-RPM) on the letter.

1.G.2.c. Selections

Requests for Reserve commissions under this program shall be considered by a panel convened at CG PSC-RPM. This panel meets approximately 4 times a year, as needed. The panel will review each applicant's entire Personnel Data Record (PDR) and may:

- (a) approve the request;
- (b) conditionally approve the request, offering a Reserve commission at the same grade held while a member of the Regular Coast Guard or Navy, but assigned a different date of rank;

- (c) conditionally approve the request, offering a Reserve commission, but at a lower grade than previously held; or
- (d) disapprove the request.

1.G.2.d. Date of Rank Determination

- (1) Approved Appointment to the Same Grade. If applicant is approved with an appointment to the same grade, the date of rank shall remain the same if the applicant resigned their commission from active duty.
 - (2) Approved Appointment to Same Grade Upon Twice Non-Selected. If applicant, who has multiple non-selections on the ADPL and is discharged from active duty, is approved with an appointment to the same grade, the date of rank shall be the date the applicant signs their oath for a Reserve commission.
 - (3) Approved Appointment to a Lower Grade. If applicant is approved with appointment to a lower grade, the date of rank will normally be equal to that of the senior most officer on the Inactive Duty Promotion List in that grade who has not yet been considered for promotion to the next higher grade.
-

1.G.3. Appeal Procedures

Appeals may be made to Commander (CG PSC-RPM) only in cases where a commission is offered at a lower grade than previously held.

- a. Appeal Request. The individual may request that Commander (CG PSC-RPM) review the grade determination being offered.
 - b. Appeal Methods. Such appeal shall be:
 - (1) in writing;
 - (2) via the officer's chain of command (if applicable), and;
 - (3) initiated within 15 days of receipt of the letter offering a commission at the lower grade.
 - c. Basis of Appeal. The appeal shall be based on additional information that is a matter of record but was not available to the panel making the original determination. Mere disagreement is not sufficient justification for appeal.
 - d. Mandatory Statement. The appeal shall include a statement as to whether or not the officer will accept the original determination, should it be confirmed upon review.
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CHAPTER 2 GRADES AND RATINGS

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 |
| Operations Systems Specialist | OSS |
| 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 |
| Criminal Investigator | INV |
| Information Systems Management | ISM |
| Intelligence Systems Specialist | ISS |
| Marine Safety Specialist Deck | MSSD |
| Marine Safety Specialist Engineering | MSSE |
| Maritime Law Enforcement Specialist | MLES |

2.A.2. Manner of Addressing Officers

2.A.2.a. Commissioned Officers

Commissioned officers shall be designated and addressed in official communications by the title of their grades. In oral communication, commissioned officers below the grade of commander may be addressed as "Mister," "Mrs.," "Miss," or "Ms," as appropriate. Medical officers in the grade of captain and below may be addressed as "Doctor."

2.A.2.b. Chief Warrant Officers

Chief warrant officers shall be addressed by the title of their grades. The abbreviations CWO2, CWO3, and CWO4 shall be used in written form. The specialty name or abbreviation will not be used except when it is necessary to state the chief warrant officer's specialty. In oral communication, chief warrant officers may be addressed as "Mister," "Mrs," "Miss," or "Ms," as appropriate.

2.A.3. Active Duty Promotion List and Lineal List

2.A.3.a. Active Duty Promotion List

Commander (CG PSC) maintains a single active duty promotion list (ADPL) of officers of the Coast Guard on active duty in the grades of ensign and above in accordance with Article 3.A.2. of this Manual in the order of precedence as outlined in this section.

2.A.3.b. Lineal List

Commander (CG PSC) maintains a lineal list of chief warrant officers in the order of precedence as outlined in this section.

2.A.4. Date of Rank

2.A.4.a. Appointment

Upon original appointment in the Coast Guard, the date of rank of a commissioned officer or chief warrant officer shall be the date specified in the appointment letter, or, if there be no specified date, then the date the oath of office is taken.

2.A.4.b. Promotion

(1) Commissioned Officers. Upon promotion of a commissioned officer above the grade of ensign, the date of rank will be the date of appointment to that grade, except that the date of rank of an active duty officer not on the ADPL shall be the date of rank of his/her running mate.

(2) Warrant Officers. Upon promotion of chief warrant officers, the date of rank will be

as specified in Article 3.B. of this Manual.

2.A.5 Commencement of Pay and Allowances

Pay and allowances for an original appointment or for a promotion appointment shall accrue from the effective date specified in the appointment letter, but not before the date the oath of office is administered for an original appointment.

2.B. Order of Precedence

2.B.1. Precedence of Coast Guard Commissioned Officers in the Grade of Ensign or Above

2.B.1.a. Seniority by Grade

Commissioned officers in the grade of ensign or above shall take precedence on the active duty promotion list in order of seniority of the grades in which appointed.

2.B.1.b. Seniority by Date of Rank

Officers serving in the same grade shall take precedence in the order of their date of rank in that grade, except for officers who have lost numbers in grade.

2.B.1.c. Seniority as Listed on the Active Duty Promotion List

Officers serving in the same grade with the same date of rank shall take precedence among themselves as they are listed on the active duty promotion list and as Commander (CG PSC) shall determine in this section.

2.B.1.d. Precedence with Running Mate

Active duty officers not on the active duty promotion list and "extra number" officers under 14 U.S.C. § 432 and § 433 shall take precedence with, but after their running mates. Officers in this category with the same running mate shall take precedence with each other in the order determined by Commander (CG PSC).

2.B.1.e. Precedence on the Active Duty Promotion List

Officers appointed in the same grade with the same date of rank shall take precedence on the active duty promotion list in the following order:

- (1) Officers Promoted from the Next Lower Grade. Officers promoted from the next lower grade shall take precedence with each other in the order their names are listed on the active duty promotion list in the lower grade giving due consideration to the change in precedence which takes place upon the promotion of deep selected officers, officers once passed over, and officers completing a service requirement for promotion.
- (2) Coast Guard Academy Graduates Appointed as Regular Officers. Graduates of the Coast Guard Academy appointed as Regular officers shall take precedence with each other in the order of their class standing upon graduation. (See 14 U.S.C. § 185.)
- (3) Coast Guard Academy Graduates Appointed as Reserve Officers. Graduates of the Coast Guard Academy appointed as Reserve officers shall take precedence with each

other in the order of their class standing upon graduation.

- (4) U. S. Merchant Marines. Licensed officers of the U. S. Merchant Marine appointed as Regular officers under 14 U.S.C. § 211 (PL 80-219) shall take precedence with each other by date of rank and as specified by Commander (CG PSC).
 - (5) Enlisted Members and Warrant Officers. Enlisted members or warrant officers appointed as temporary Regular officers shall take precedence with each other as follows:
 - (a) Warrant Officers. In the order their names are listed on the lineal list for their permanent status.
 - (b) Enlisted Members. If graduates of Officer Candidate School, before enlisted appointees who are not Officer Candidate School graduates and in the order of their class standing on graduation; if not graduates of Officer Candidate School, in the order of precedence of the rating and time in grade of their permanent status as set forth in Article 2.B. of this Manual.
 - (6) Officer Candidate School and Aviation Cadet Program Graduates. Graduates of Officer Candidate School and the Aviation Cadet Program appointed as Reserve officers shall take precedence with each other in the order of their class standing upon graduation.
 - (7) Direct Commission Officers. Direct commission officers appointed in the Reserve shall take precedence with each other by date of rank and as specified by Commander (CG PSC).
-

2.B.2. Precedence of Chief Warrant Officers of the Coast Guard

2.B.2.a. Seniority of Chief Warrant Officers

Chief warrant officers shall take precedence with each other in the order of seniority of the grades in which appointed.

2.B.2.b. Precedence by Date of Rank

Chief warrant officers serving in the same grade shall take precedence in the order of their date of rank in that grade.

2.B.2.c. Precedence as Listed on the Lineal List

Chief warrant officers serving in the same grade with the same date of rank shall take precedence among themselves as they are listed on the lineal list.

2.B.2.d. Precedence Within the Same Grade

Chief warrant officers appointed in the same grade with the same date of rank shall take precedence among themselves in the following order:

- (1) Promoted from the Next Lower Grade. Appointees promoted from the next lower grade shall take precedence with each other in the order their names are listed on the lineal list.
- (2) Original Appointments. Appointees receiving an original appointment shall take precedence with each other in the order of the seniority of their specialty as listed in Article 2.A.1. of this Manual. Appointees in the same specialty shall take precedence with each other in the order recommended by the Warrant Officer Selection Board.

2.B.2.e. Retired Recalled Chief Warrant Officer

A retired-recalled chief warrant officer shall take precedence with, but after his/her running mate.

2.B.3. Precedence with Relation to Officers of Other Services

2.B.3.a. Rank of Commissioned Officers between Services

The commissioned officers of the Coast Guard rank as follows: admirals with admirals in the Navy and generals in the Army, Air Force, and Marine Corps; vice admirals with vice admirals in the Navy and lieutenant generals in the Army, Air Force, and Marine Corps; rear admirals of the upper half with rear admirals of the upper half in the Navy and major generals in the Army, Air Force, and Marine Corps; rear admirals of the lower half with rear admirals of the lower half in the Navy and brigadier generals in the Army, Air Force, and Marine Corps; captains with captains in the Navy and colonels in the Army, Air Force, and Marine Corps; commanders with commanders in the Navy and lieutenant colonels in the Army, Air Force, and Marine Corps; lieutenant commanders with lieutenant commanders in the Navy and majors in the Army, Air Force, and Marine Corps; lieutenants with lieutenants in the Navy and captains in the Army, Air Force, Marine Corps; lieutenants (junior grade) with lieutenants (junior grade) in the Navy and first lieutenants in the Army, Air Force, and Marine Corps; ensigns with ensigns in the Navy and second lieutenants in the Army, Air Force, and Marine Corps.

2.B.3.b. Precedence between Services

The precedence of officers of the Coast Guard, Army, Navy, Air Force, Marine Corps, and Public Health Service, when serving together, shall be:

- (1) In accordance with their relative grade.
- (2) In accordance with their dates of rank when of the same relative grade.

- (3) In accordance with the time each has served on active duty as a commissioned officer of the United States when of the same relative grade with the same date of rank.
-

CHAPTER 3 PROMOTING COMMISSIONED OFFICERS

3.A. Promoting Commissioned Officers

3.A.1. General

3.A.1.a. Statutory Authority

The authority to promote all officers on the Active Duty Promotion Lists (ADPL) is contained in 14 U.S.C. § 251 through § 275.

3.A.1.b. Promoting Ensigns and Non-ADPL Officers

The regulations to promote officers serving as ensigns and those not included on the ADPL are promulgated under 14 U.S.C. § 271(c) and § 276, respectively.

3.A.1.c. Active Duty Reserve Officers

Pursuant to 14 U.S.C. § 728, Reserve officers serving on extended active duty agreements under 10 U.S.C. § 12301 agreement shall be considered for promotion by the appropriate ADPL selection board.

3.A.1.d. Promotion Year Term

Promotion year means the period beginning on 1 July of each year and ending on 30 June of the following year (14 U.S.C. § 256(a)).

3.A.2. Active Duty Promotion List (ADPL)

3.A.2.a. Discussion

The Commandant shall maintain a single Active Duty Promotion List (ADPL) of officers of the Coast Guard, Regular and Reserve, on active duty. The following officers are not included on the ADPL:

- (1) Retired officers recalled to active duty.
- (2) Officers of the Coast Guard Academy permanent commissioned teaching staff (PCTS).
- (3) Officers designated as Reserve Program Administrators (RPAs).
- (4) Reserve officers assigned to the Selective Service System.

3.A.2.b. ADPL Seniority

Officers appear on the ADPL in the order of seniority of the grades in which they serve. Officers serving in the same grade appear in the order of their seniority in that grade. Commander (CG PSC) may correct any erroneous position caused by administrative error on the ADPL.

3.A.2.c. Ensigns' Seniority on Promotion List

A person appointed in the grade of ensign or above in the Regular Coast Guard shall be placed on the ADPL in order of date of rank and seniority.

3.A.2.d. Reserve Officers Entering Extended Active Duty

Except for one excluded by Article 3.A.2.a. of this Manual, a Reserve officer entering on extended active duty appears on the ADPL in order of grade and seniority. Commander (CG PSC) shall determine the position of such a Reserve officer among other active duty Coast Guard officers of the same date of rank (14 U.S.C. § 41 a).

3.A.3. Number and Distribution of Commissioned Officers

3.A.3.a. Number of Officers

The total number of commissioned officers, excluding commissioned warrant officers, on active duty in the Coast Guard shall not exceed the level specified in 14 U.S.C. § 42.

3.A.3.b. Officer Distribution

Commissioned officers on the ADPL shall be distributed in grade in percentages as indicated below. If Coast Guard needs require, the Secretary may reduce the percentage of any grade above lieutenant commander and, to compensate for such reduction, increase correspondingly the percentage of any lower grade.

| Rank | Percentage |
|---|--------------------------------------|
| Rear Admiral | 0.375 |
| Rear Admiral (Lower Half) | 0.375 |
| Captain | 6.0 |
| Commander | 12.0 |
| Lieutenant Commander | 18.0 |
| Lieutenant, Lieutenant (junior grade), and Ensign | percentages the Secretary prescribes |

3.A.3.c. Secretary's Computation

At least annually the Secretary shall determine the number of officers on the ADPL authorized to serve in each grade by applying the applicable percentage to the total number of such officers serving on active duty on the date the computation is made. For this purpose, the nearest whole number is the authorized number in any case where a fraction is in the final result.

3.A.3.d. Authorized Number per Grade

For all purposes, the numbers resulting from these computations are the authorized number in each grade, except the authorized number for a grade temporarily increases during the period between one computation and the next by the number of officers originally appointed in that grade during that period and the number of officers of that grade for whom vacancies exist in the next higher grade but whose promotion has been delayed for any reason.

3.A.3.e. Exceptions to Authorized Numbers

Officers not on the Active Duty Promotion List and officers serving with other departments or agencies on a reimbursable basis shall not be counted in determining authorized strengths described in Article 3.A.3.c. of this Manual and shall not count against those strengths. The Secretary shall prescribe the number of officers authorized to serve on active duty in each grade of the Coast Guard Academy's permanent commissioned teaching staff and of the Reserve as RPAs (14 U.S.C. § 42).

3.A.4. Selecting and Promoting Officers on Active Duty Promotion List from Lieutenant (Junior Grade) Through Rear Admiral (Lower Half)**3.A.4.a. Eligibility for Consideration**

An officer on the ADPL becomes eligible for consideration for promotion to the next higher grade at the beginning of the promotion year in which he or she completes the following amount of service computed from date of rank in the grade in which serving:

| Grade In Which Serving | Length of Service |
|-------------------------------|--------------------------|
| Lieutenant (junior grade) | 2 years |
| Lieutenant | 3 years |
| Lieutenant Commander | 4 years |
| Commander | 4 years |
| Captain | 3 years |

- (1) Qualifying Service. For these purposes, service in a grade includes all qualifying service in that or a higher grade under either a temporary or permanent appointment.

However, service in a grade under a temporary service appointment under Article 3.A.10. of this Manual is considered as service only in the grade the officer concerned would have held had he or she not been so appointed.

- (2) Eligible for Consideration. No officer is eligible for consideration for promotion until all officers senior to him or her are so eligible.
- (3) Duration of Eligibility. Except when on a list of selectees, each officer who becomes eligible for consideration for promotion to the next higher grade remains eligible so long as the officer continues on active duty and is not promoted to that grade (14 U.S.C. § 257).

3.A.4.b. Number of Officers to be Selected for Promotion

Before convening a selection board to recommend officers for promotion, the Secretary shall determine the total number of officers to be selected for promotion to that grade. This number shall be equal to the number of vacancies existing in that grade, plus the number of additional vacancies estimated for the next 12 months, less the number of officers on the selection list for the grade (14 U.S.C. § 255).

3.A.4.c. Promotion Zones

- (1) Establishing Promotion Zone. Before convening a selection board to recommend officers for promotion to any grade above lieutenant (junior grade) and below rear admiral (lower half), the Secretary shall establish that grade's promotion zone: The promotion zone for each grade shall consist of that grade's most senior officers on the ADPL who are eligible for consideration for promotion to the next higher grade who have not previously been placed in a promotion zone for selection for promotion to the next higher grade. The number of officers in each zone shall be determined after considering:
 - (a) The needs of the Service,
 - (b) The estimated numbers of vacancies available in future years to provide comparable opportunity to promote officers in successive year groups, and
 - (c) The extent to which current terms of service in that grade conform to a desirable career promotion pattern. However, such number of officers shall not exceed the number to be selected for promotion divided by six-tenths (0.6).
- (2) Establishing Promotion Zone for Rear Admiral (Lower Half). The Secretary shall establish promotion zones from which officers will be selected for promotion to the grade of rear admiral (lower half) as the needs of the Service require (14 U.S.C. § 256).

3.A.4.d. Selection Boards

Selection boards to recommend officers for promotion to the next higher grade shall be convened as described in Article 6.A. of this Manual.

3.A.4.e. In Zone Reordering for Promotion Boards

- (1) Background and Authority. In Zone Reordering is a tool that may be utilized by any ADPL and RPA best qualified promotion board (O3 through O6). After selecting the officers to be recommended for promotion, a selection board may recommend officers of particular merit, from among those officers chosen for promotion, to be placed at the top of the list of selectees. Officers displaced from the top of the list shall retain their previous precedence immediately below those officers reordered and inserted at the top of the promotion list (14 U.S.C. § 259).
- (2) Percentage That May be Reordered. The number of officers that a board may recommend to be placed at the top of the list of selectees may not exceed the percentages set forth in subsection (b) of 14 U.S.C. § 259 unless such a percentage is a number less than one, in which case the board may recommend one officer for such placement.
- (3) Majority Recommendation. No officer may be recommended to be placed at the top of the list of selectees unless he or she receives the recommendation of at least a majority of the members of a board composed of five members, or at least two-thirds of the members of a board composed of more than five members.
- (4) Reordering is Optional. Promotion boards are under no obligation to select officers for in zone reordering. The tool will only be made available for use at the discretion of the board. Officers above zone, in zone, and below zone are all eligible for reordering if selected for promotion.
- (5) Placement on Selection List. In order of original seniority, ADPL members that are reordered within their respective promotion zone assume a position above the senior-most selected member.
- (6) Reordering and Placement of Reserve Program Administrators. In order of original seniority, Reserve Program Administrators reordered within their respective promotion zone are assigned running mates equal to the most junior of the ADPL members that were in zone reordered during the same year. In the event no ADPL members were reordered during the associated selection board, the senior most selected member on the ADPL will be assigned as a running mate.

3.A.4.f. Communicating with the Selection Board

- (1) Background and Authority. Each officer eligible for consideration by a selection board may communicate with the board through the officer's chain of command by

letter arriving by the date the board convenes, inviting attention to any matter in his or her Coast Guard record that will be before the selection board. A letter sent under this paragraph may not criticize any officer or reflect on any officer's character, conduct, or motive. (See 14 U.S.C. § 253(b).)

- (2) Enclosures and Attachments. One OER chain endorsement is optional. Enclosures or attachments are limited to copies of official records and materials allowed to be submitted with Officer Evaluation Reports, Form CG-5310 under Article 5.A.4.c.3. of this Manual. Letters from other officers shall not be solicited or submitted as enclosures. Officers requesting acknowledgement of receipt shall provide an e-mail address in their communication.
- (3) Endorsements. Endorsements to letters submitted to selection boards shall not include opinions whether an officer should be selected for promotion or opinions on selection boards and their methods.

3.A.4.g. Failure of Selection for Promotion

- (1) Commander and Below. Officers in the grade of commander and below in the promotion zone established under Article 3.A.4.c. of this Manual fail of selection for promotion if they do not appear on the list of selectees recommended by the board considering them or if the President subsequently removes them from the list of selectees in the board's report (14 U.S.C. § 262(a)).
- (2) Administrative Error. Officers do not fail of selection if a selection board did not consider them because of administrative error. If selected by the next succeeding selection board, they receive the date of rank and position on the ADPL in the grade to which selected they would have held had the first selection board recommended them (14 U.S.C. § 262(b)).

3.A.4.h. Promotions

- (1) List of Selectees. When the President approves a report of a board convened to recommend officers for promotion, the Commandant will place the names of all officers selected and approved on a list of selectees in the order of their seniority on the ADPL (14 U.S.C. § 271(a)).
- (2) Date of Promotion. Officers on the list of selectees may be promoted by appointment in the next higher grade to the grade's maximum strength as determined under Article 3.A.3. of this Manual after officers on any previous list of selectees for that grade have been promoted. Officers shall be promoted in the order they appear on the list of selectees. The date of rank of an officer promoted under this paragraph is the date of appointment in that grade (14 U.S.C. § 271(b)).
- (3) Promotions to Lieutenant Commander and Above. Officers selected for promotion to lieutenant commander and above may be promoted to fill vacancies (14 U.S.C. §

271(b)).

- (4) Promotions of Lieutenant. Promotions for officers selected for lieutenant will be effected as follows:
- (a) After Selection by First Board. A lieutenant (junior grade) eligible for promotion may be promoted to the grade of lieutenant without regard to vacancies on the day after completing 30 months of service in grade.
 - (b) After Selection by First Board from Below the Zone. Any lieutenant (junior grade) eligible for promotion selected from below the established promotion zone shall be placed on the new list of selectees prepared by the board in order of existing seniority. They shall be tendered appointment to lieutenant on the same date as the most junior lieutenant (junior grade) on the list of selectees who was in the published promotion zone.
 - (c) After Selection by Second Board. Any lieutenant (junior grade) selected for promotion to lieutenant by the second board to consider him or her shall be placed at the top of the new list of selectees prepared by the board in order of existing seniority. They shall be tendered appointment to lieutenant on the same date as the most senior lieutenant (junior grade) on the approved list of selectees who has not previously failed of selection to the grade or whose record has not been corrected by the Personnel Records Review Board or Board for Correction of Military Records to remove a previous non-selected status to that grade.

3.A.4.i. Removing Officer from List of Selectees for Promotion

- (1) Presidential Authority. The President may remove any officer from a list of selectees established under Article 3.A.4.g. of this Manual.
 - (2) Senatorial Authority. If the Senate does not consent to appoint an officer whose name is on a list of selectees established under Article 3.A.4.g. of this Manual, that officer's name shall be removed from this list.
 - (3) Eligibility for Further Consideration. An officer whose name is removed from a list under this Article remains eligible for consideration for promotion. If promoted as a result of selection by the next selection board, he or she holds the date of rank and position on the ADPL in the grade to which promoted which he she would have held if his or her name had not been removed. However, if the next selection board does not select the officer or if his or her name again is removed from the list of selectees, the officer shall be considered for all purposes as having twice failed of selection for promotion (14 U.S.C. § 272).
 - (4) Removal from Selection List. The name of an officer who declines a promotion shall be removed from the list of selectees, as provided in Article 3.A.4.i.(3) above.
-

3.A.5. Selecting and Promoting Ensigns to Lieutenant (Junior Grade)

3.A.5.a. Eligibility for Promotion

An ensign on the ADPL is eligible for promotion to lieutenant (junior grade) after:

- (1) Completing 12 months of active service as defined in 10 U.S.C. § 101, computed from date of rank as an ensign on the ADPL,
- (2) A board recommends him or her as fully qualified for promotion, and
- (3) The Commandant has approved the board's recommendation.

3.A.5.b. Selection Boards

Selection boards to recommend ensigns for promotion to lieutenant (junior grade) shall be convened as Article 6.A. of this Manual describes.

3.A.5.c. Communicating with the Selection Board

Each officer eligible for consideration by a selection board may communicate directly with the board in the same manner as Article 3.A.4.e. of this Manual prescribes.

3.A.5.d. Failure of Selection for Promotion

- (1) Out of Line of Promotion. Ensigns whom a board does not recommend and whose commissions are not revoked under Article 3.A.5.d.(2) of this Manual shall be placed out of the line of promotion for at least nine months, beginning on the date the board report which did not recommend them for promotion is approved. The out-of-line period provides these officers with the opportunity to improve their performance before a second board considers them for promotion.
- (2) Finding of Unsatisfactory in Grade. In accordance with 14 U.S.C. § 214(c) or 14 U.S.C. § 281, as applicable, the Commandant may revoke the commissions or vacate the temporary appointments of ensigns who, in their first five years of commissioned service, fail of selection for promotion to lieutenant (junior grade) and whom the selection board determines are performing unsatisfactorily in grade, irrespective of Articles 1.A.8. and 1.A.10. of reference (c), Military Separations, COMDTINST M1000.4 (series).
- (3) Consideration by Second Board. A second board convened as described in Article 6.A. shall consider an ensign placed out of line of promotion.
- (4) Failure of Selection by Second Board. If a second board finds an ensign is not fully qualified, the Commandant will revoke his or her Regular or Reserve commission or vacate his or her temporary appointment irrespective of Articles 1.A.8. and 1.A.10. of

reference (c), Military Separations, COMDTINST M1000.4 (series).

3.A.5.e. Non-Consideration Due to Administrative Error

An ensign does not fail of selection for promotion if a board does not consider him or her because of administrative error. If the next succeeding board considering ensigns for promotion recommends that ensign for promotion, he or she holds the date of rank and position on the ADPL as a lieutenant (junior grade) which he or she would have held had the first board recommended him or her.

3.A.5.f. Promotion

- (1) After Selection by First Board. An ensign eligible for promotion may be promoted to lieutenant (junior grade) without regard to vacancies on the day after he or she completes 18 months of active service.
- (2) After Selection by Second Board. The board shall place ensigns found fully qualified for promotion at the top of the new list in order of existing seniority. They shall be tendered appointment to lieutenant (junior grade) without regard to vacancies on the day the board report is approved, as long as they have completed 18 months of active commissioned service. An ensign whose record only appeared before a second board due to an administrative error will be assigned a date of rank based upon time in grade and prior seniority in the register of officers. Such an ensign will not be considered the “most senior ensign on the approved list of selectees” for the purpose of ranking others in precedence order.

3.A.5.g. Separations

Effective not later than three months from the date the selection board report is approved but not later than the day before the three-year anniversary of commissioned service, ensigns whose commissions are revoked or vacated shall be honorably discharged.

3.A.6. Selecting and Promoting U. S. Coast Guard Reserve Officers on Extended Active Duty as Reserve Program Administrators

3.A.6.a. Number and Distribution in Grade

- (1) Background. Because of their small numbers and uneven distribution by year groups, Reserve Program Administrators’ (RPAs) grade distribution will not be regulated to conform to the grade distribution percentages used on the ADPL.
- (2) Overall RPA Percentage. The total number of RPAs shall not exceed 75 percent of the authorized number of Reserve funded billets of lieutenant (junior grade) and above. The authorized Reserve funded general detail billets of lieutenant (junior grade) and above shall be included in computing the total number of authorized RPAs.

- (3) Percentage RPAs Authorized in Grade of Captain. The number of RPAs authorized as captains shall not exceed 6.75 percent of the Reserve funded billets of lieutenant (junior grade) and above. The authorized Reserve funded general detail billets of lieutenant (junior grade) and above shall be included in computing the total authorized number of RPA captains.
- (4) Continuation Board. If sufficient vacancies do not exist to permit promoting all RPAs on the selection list to captain on the dates their running mates are promoted, a continuation board shall be convened under Article 6.B.11. of this Manual to cause attrition and provide needed vacancies.
- (5) Exception to RPAs Authorized in Grade of Captain. Without further action, the number of RPA captains authorized will be increased temporarily to the extent necessary to permit:
 - (a) Retaining those RPA captains not recommended for continuation but not yet eligible for retirement under 10 U.S.C. § 6323.
 - (b) Promoting all RPAs on the selection list to captain on the dates their running mates are promoted.
 - (c) The temporary increase provided above is authorized only for as long as is necessary to reduce through normal attrition the number of RPA captains to that otherwise prescribed.

3.A.6.b. Running Mates

Each RPA shall be assigned a running mate as prescribed in 14 U.S.C. § 726.

3.A.6.c. Eligibility for Selection for Promotion

An RPA is eligible for consideration for selection for promotion when his or her running mate first enters a promotion zone and remains eligible as long as he or she:

- (1) Continues on active duty, and
- (2) Is not promoted to that grade (14 U.S.C. § 257).

3.A.6.d. RPA Promotion Zone

The size of the promotion zone for each grade of lieutenant and above equals the number of officers eligible for selection for promotion as described in Article 3.A.6.c. of this Manual.

3.A.6.e. Opportunity of Selection

When feasible a best-qualified selection process shall be used to promote RPAs to the next higher grade. The opportunity of selection at each grade will compare to that grade's opportunity during the most recent ADPL selection board. The computed opportunity of selection for each grade, lieutenant and above, shall be determined as follows:

- (1) If RPAs going before the selection board include only first-time candidates for the grade being considered, the percentage will be the total number of ADPL officers who were selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in the ADPL zone. Fractions of a percentage shall be rounded to the next higher number.
- (2) If RPAs going before the selection board include only first-time candidates and those who once failed of selection for promotion to the grade being considered, the percentage is the total number of ADPL officers selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in the ADPL zone plus the number of officers above the ADPL zone who have been once not selected. Fractions of a percentage shall be rounded to the next higher number.
- (3) If RPAs going before the selection board include candidates who twice or more have failed of selection for promotion to the grade being considered, the percentage will be the total number of ADPL officers selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in and above the ADPL zone. Fractions of a percentage shall be rounded to the next higher number.

3.A.6.f. Number Selected for Promotion

Before convening a board to recommend RPAs for promotion to any grade, the Commandant will determine the total number of RPAs who may be selected for that grade by multiplying the computed opportunity of selection by the number of RPAs in the promotion zone. In applying the computed percentage, a fraction of five-tenths or greater shall be counted as a whole number. If the number of officers to be selected equals the number of officers in the promotion zone, a fully qualified promotion board shall be convened to select officers on a fully-qualified basis using the criteria established in Article 6.A.12. of this Manual.

3.A.6.g. Selection Boards

Selection boards to recommend RPAs for promotion to all grades of captain and below shall be convened as Article 6.A.12. of this Manual describes.

3.A.6.h. Communicating with the Selection Board

RPAs may communicate with a selection board in the same manner as described in

Article 3.A.4.e. of this Manual.

3.A.6.i. Failure of Selection for Continuation or Promotion

The following officers shall be released to inactive duty, continued on active duty, or retired under Article 1.C.7. of reference (c), Military Separations, COMDTINST M1000.4 (series):

- (1) An RPA captain not recommended for continuation.
- (2) Any RPA who has failed of selection for promotion to the next higher grade.
 - (a) Other than one serving as captain, an officer fails selection if the board that considered him or her did not select that officer for promotion or, if the Commandant later removes the officer's name from the board's report or the list of selectees after the board recommended him or her for promotion.
 - (b) An officer does not fail of selection if a board does not consider him or her due to administrative error. If the next succeeding board selects him or her and he or she is promoted, the officer holds the date of rank and precedence he or she would have held if the first selection board recommended him or her.

3.A.6.j. Promotions

- (1) List of Selectees. When the Commandant has approved the promotion board's report, all RPAs selected and approved will appear in the order of their current relative seniority.
 - (2) Promotion. An RPA on the list of selectees shall be promoted effective on the date his or her running mate is promoted and assigned the same date of rank as his or her running mate under the procedures of Article 3.A.12. of this Manual.
 - (3) Delay of Promotion. The promotion of any RPA may be delayed if he or she has disqualified him or herself under the conditions set forth in Article 3.A.12. of this Manual.
 - (4) Removal of Name by Commandant. Subject to the Secretary's approval, the Commandant may remove any officer recommended for promotion from the report of the board convened under Article 6.B.3. of this Manual.
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3.A.7. Promotion of Officers on the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy

3.A.7.a. Running Mates

- (1) Assignment of Rank, Date of Rank, and Running Mate of Member Upon Completion

of Probationary Period. An officer selected for PCTS, after successful completion of the probationary period discussed in Article 6.B.12.j. of this Manual, shall be sworn into the PCTS and assigned a running mate on the ADPL. If an officer has successfully served at the Coast Guard Academy for two years or more, the Superintendent may recommend that the probationary period be waived. In such a case the officer will be assigned a running mate on the ADPL immediately following appointment. If the officer is appointed directly from the ADPL, the running mate shall be the officer of the same grade who was one person senior on the lineal list as of the date of permanent appointment to the PCTS. If the PCTS appointee happens to be the most senior officer of that grade, then the officer one person junior on the ADPL becomes the running mate.

- (2) Assignment of Rank, Date of Rank, and Running Mate of Member in a Probationary Status. When an individual is appointed to the PCTS in probationary status from a source other than active duty Coast Guard commissioned officer status, a rank and date of rank are assigned on the basis of his/her educational qualifications and professional experience. If the appointee is already a commissioned officer in good standing in the Coast Guard inactive reserve or in another service component, the current equivalent rank and date of rank will normally be retained. When such an appointee subsequently receives a permanent appointment to the PCTS, then the junior officer of the same grade and date of rank on the ADPL becomes the running mate. In case there is no one on the ADPL with the same date of rank, then the next senior officer of the same grade becomes the running mate.
- (3) Running Mate Changes. If a PCTS officer's running mate is removed from the ADPL or changes position, then the new running mate is the officer next most senior on the list.
- (4) Assigning a New Running Mate Upon Non-Selection for Promotion. A member of the PCTS who fails selection for promotion for the first time shall be assigned as a new running mate the first ADPL officer who meets one of the following criteria (to be taken in order):
 - (a) The officer of the same grade on the ADPL who has also failed selection for the first time and is one person senior;
 - (b) The senior officer of that grade who has failed selection;
 - (c) The senior officer of that grade who has not previously been in the primary promotion zone. If the current running mate is selected for promotion or promoted while the PCTS member is out of line of promotion, a new running mate shall be assigned in accordance with the procedure described in this paragraph.
- (5) Assigning a New Running Mate Upon Selection for Promotion. If a member of the PCTS is selected for promotion but his/her running mate was not, then the new

running mate is the officer one person senior on the lineal ADPL list who was selected.

3.A.7.b. Eligibility for Promotion

- (1) Members of the PCTS shall not be promoted to a grade above that of Captain.
- (2) A member of the PCTS who is serving in a grade below Captain becomes eligible for consideration for promotion when his or her running mate is in the promotion zone established for that grade.

3.A.7.c. Selection Boards

Selection boards to recommend members of the PCTS for promotion to the next higher grade shall be convened as described in Article 6.A. of this Manual.

3.A.7.d. Promotion

- (1) List of Selectees. When the report of a board convened to recommend members of the PCTS for promotion has been approved, the names of those recommended shall be placed on a list of selectees in the order of their present seniority.
- (2) Appointment. The appointment of a member of the PCTS to a higher grade shall be made in the same manner as an appointment of a Regular officer on the active duty promotion list. (See Article 3.A.12. of this Manual.)
- (3) Promotion. A member of the PCTS recommended for promotion shall be promoted on the date his/her running mate is promoted or as soon thereafter as the Senate confirms the appointment. The procedures outlined in Article 3.A.12. of this Manual apply.
- (4) Removal from List of Selectees for Promotion. The name of a member of the PCTS may be removed from a list of selectees by the Secretary in the same manner as the President may remove the name of an officer on the active duty promotion list and the effect upon his/her status and continued eligibility for promotion shall be the same. (See Article 3.A.4.g. of this Manual.)
- (5) Member of PCTS Appointed as Dean of Academics. A member of the PCTS who is appointed to the position of Dean of Academics at the Coast Guard Academy shall be appointed in the grade of Captain without regard to Articles 3.A.7.c. and 3.A.7.d. of this Manual. If the individual is not already serving in the grade of Captain, the date of rank will normally be the effective date of the appointment as Dean. In such a case, the running mate will be the junior ADPL Captain with the same or earlier date of rank. If there is no officer who meets this criterion, then the next senior ADPL Captain will be the running mate.

3.A.7.e. Failure of Recommendation for Promotion

- (1) Placed Out of Line of Promotion. A PCTS member not recommended for promotion is out of line for promotion for one year from the date the Secretary approves the board.
 - (2) Consideration by Second Board. A second board convened as described in Article 6.A. of this Manual considers a PCTS member out of line for promotion.
 - (3) Promotion after Selection by Second Board. A member of the PCTS who has once failed selection and is recommended for promotion by a subsequent board shall be promoted on the same day as the new running mate defined in Article 3.A.7.a. of this Manual.
 - (4) Members of the PCTS who Fail Selection for Promotion Two Times. A member of the PCTS who fails selection for promotion two times shall fall under the guidelines of ADPL officers who fail selection for promotion two times as described in Article 1.A.12. of reference (c), Military Separations, COMDTINST M1000.4 (series).
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3.A.8. Selecting and Promoting Retired Officers Recalled to Active Duty

3.A.8.a. Eligibility for Selection for Promotion

- (1) Exceptions for Promoting Retired Recalled Officers. Except in extraordinary circumstances, such as wartime recall or urgent Service need, retired officers recalled to active duty normally are not eligible for promotion to the next higher grade, an exclusion the recall order will note.
- (2) Maximum Grade to Which Retired Recalled Officers Can Be Promoted. In all cases the highest grade to which retired officers recalled to active duty are eligible for promotion is captain.
- (3) Promotion of Retired Recalled Officer Twice Non-Selected for Promotion Prior to Retirement. A retired officer who at retirement had once or twice failed selection for promotion to the next higher grade is not eligible for promotion if recalled to active duty.
- (4) Date of Eligibility of Promotion of a Retired Recalled Officer. If a retired officer recalled to active duty is eligible for promotion, he or she is eligible when his or her running mate is in the promotion zone established for the next higher grade.

3.A.8.b. Running Mates

- (1) Assigning a Running Mate for a Retired Recalled Officer on the ADPL at Time of Retirement. Each retired, recalled officer who at retirement was on the Active Duty Promotion List (ADPL) is assigned as a running mate an officer on the ADPL,

excluding extra numbers, who occupies the same relative position in grade the retired officer did when he or she retired. The running mate is determined as follows:

- (a) At retirement, count down from the most senior officer in his or her grade, excluding extra numbers, to and including the retiring officer. The number so determined is the relative position in grade.
 - (b) At recall to active duty, from the most senior officer in the same grade the recalled officer held at retirement, count down the same number of officers, excluding extra numbers, as determined in Article 3.A.8.b.(1)(a) above. The officer so located is the assigned running mate assigned.
- (2) Assigning a Running Mate for a Retired Recalled Officer Not on the ADPL at Time of Retirement. Each recalled, retired officer who was not included on the ADPL at retirement is assigned as a running mate an officer on the ADPL, excluding extra numbers, who occupies the same relative position in grade the retired officer's running mate did when he or she retired. The running mate is determined in this manner:
- (a) At retirement, from the most senior officer in his or her grade, excluding extra numbers, count down to and including the retiring officer's running mate. The number so determined is the relative position in grade.
 - (b) At recall to active duty, from the most senior officer in the same grade the recalled officer held at retirement, count down the same number of officers, excluding extra numbers, as determined in Article 3.A.8.b.(2)(a) above. The officer so located is the assigned running mate.
- (3) Assigning a New Running Mate. A recalled, retired officer whose running mate changes his or her relative position or is removed from the Active Duty Promotion List for any reason is assigned as a new running mate the ADPL officer next senior to the old running mate; however, if the former running mate was the senior officer in his or her grade, the new running mate is that grade's new senior officer.
- (4) Assigning a New Running Mate Upon Non-Selection for Promotion. A recalled, retired officer who fails selection for promotion the first time is assigned as a new running mate the next senior officer in the same grade on the ADPL who failed selection for promotion to the next higher grade the first time. If no officer senior to him or her has failed selection for the first time, he or she is assigned as a running mate that grade's senior officer on the ADPL who has so failed; if no officer in that grade has failed selection for the first time, the recalled officer takes as a running mate that grade's senior officer on the ADPL who has not previously been in a Promotion zone until an officer fails selection for the first time. If his or her current running mate also has failed selection for the first time, a recalled, retired officer who fails selection for the first time retains that officer as running mate. If his or her current running mate is selected promoted while a recalled, retired officer is out of the

line of promotion, he or she is assigned a new running mate under the procedure described here.

- (5) Assigning a New Running Mate Upon Selection for Promotion by a Second Board. A recalled, retired officer who fails selection once and whom a second board recommends for promotion on being promoted under Article 3.A.8.e. of this Manual is assigned a new running mate who is that grade's junior officer on the ADPL on the promotion date.

3.A.8.c. Selection Boards

Article 6.A. of this Manual describes the convening process for selection boards to recommend recalled, retired officers for promotion to the next higher grade.

3.A.8.d. Failure of Recommendation for Promotion

- (1) Out of Line of Promotion. A recalled, retired officer not recommended for promotion is out of the line of promotion for one year from the date the Secretary approves the board report.
- (2) Second Board's Consideration. A second board, convened as Article 6.A. of this Manual describes, shall consider recalled, retired officers placed out of line of promotion.
- (3) Failure of Selection by Second Board. A recalled, retired officer whom a second board does not recommend for promotion then has failed selection twice, is not thereafter eligible for promotion, and returns to retired status not later than 30 June of the promotion year in which his or her second failure of selection occurs.

3.A.8.e. Promotion

- (1) List of selectees. When the report of a board convened to recommend recalled, retired officers for promotion has been approved, the officers so selected shall be placed on a list of selectees in the order of their seniority.
- (2) After Selection by First Board. A recalled, retired Regular officer recommended for promotion is promoted on the date his or her running mate is promoted or as soon after as the Senate consents to his or her appointment under the procedures of Article 3.A.12. of this Manual.
- (3) After Selection by Second Board. One year after the Secretary approves the first board that considered him or her, a recalled, retired officer whom a second board recommends for promotion shall be promoted to the next higher grade, or, if a retired Regular officer, as soon after as the Senate consents to his or her appointment.
- (4) Removal from List of Selectees. The Secretary may remove a recalled, retired officer

from a list of selectees in the same manner as the President may remove an officer on the ADPL; the effect on his or her status and continued eligibility for promotion is the same. (See Article 3.A.4. of this Manual.)

3.A.9. Selecting and Promoting the Coast Guard Band Director

3.A.9.a. Running Mate

The Director of the Coast Guard Band shall be assigned a running mate similarly as prescribed in 14 U.S.C. § 726 for Reserve officers.

3.A.9.b. Eligibility for Promotion

The highest grade to which the band director can be promoted is captain (14 U.S.C. § 336). The band director is eligible for selection for promotion to the next higher grade when his or her running mate is in that grade's established promotion zone.

3.A.9.c. Selection Board

A selection board to recommend the band director for promotion to the next higher grade shall be convened as Article 6.A. of this Manual describes.

3.A.9.d. Promotion

When a board recommends the band director for promotion, he or she shall be promoted on the date his or her running mate is promoted or as soon after as the Senate consents to his or her appointment. (See Article 3.A.12. of this Manual.)

3.A.9.e. Failing Recommendation for Promotion

- (1) Not Recommended for Promotion by First Board. If the board does not recommend the band director for promotion, he or she is out of line of promotion for one year from the date the Commandant approves the board.
 - (2) Convening a Second Board. A second board convened as Article 6.A. of this Manual describes will consider the band director for promotion.
 - (3) Recommended for Promotion by Second Board. If the second board recommends the band director for promotion and the Commandant approves the board, he or she shall be promoted to the next higher grade one year from the date of approval of his or her first board or as soon after as the Senate consents to his or her appointment.
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3.A.10. Wartime Temporary Service Promotions

3.A.10.a. Presidential Suspension

In time of war or national emergency declared by the President or Congress, the President may suspend any provision in this Article governing selecting and promoting officers. Such a suspension may continue up to six months after the war or national emergency concludes.

3.A.10.b. Presidential Authority

If any provisions on selecting and promoting officers are so suspended and Service needs require, the President may prescribe regulations and under them promote to a higher grade any active duty Coast Guard officer serving as ensign or higher.

3.A.10.c. Promotion to Lieutenant Commander and Above

A promotion under this Article to lieutenant commander and above may be made only on the recommendation of a board of officers convened for that purpose.

3.A.10.d. Scope of Presidential Authority

Any promotion under this Article is an appointment for temporary service. Under this Article, the President, by and with the advice and consent of the Senate, makes any appointment to a grade above captain. Any other appointments under this Article shall be made by the President alone.

3.A.10.e. Terms of Acceptance

Unless expressly declined, an appointment under this Article is regarded as accepted and the officer so promoted entitled to the appointed grade's pay and allowances on the date the Secretary specifies as the appointment date.

3.A.10.f. Scope of Appointment

An appointment under this Article does not terminate any other appointment an officer holds under any other provisions of 14 U.S.C. The President may terminate temporary appointments made under this Article at any time. An appointment made under this Article is effective for as long as the President determines. However, the appointment may not be effective later than six months after the war or national emergency ends. When the officer's temporary appointment under this Article is terminated or expires, he or she reverts to his or her former grade.

3.A.10.g. Reestablishing the Active Duty Promotion List

Within six months after the war or national emergency ends, the President shall prescribe regulations to reestablish the ADPL with adjustments and additions appropriate to the conditions of original appointment and wartime service of all officers included on it. By and with the Senate's advice and consent, the President may appoint officers on the reestablished ADPL to fill vacancies in each grade's authorized active duty strength.

Such appointments shall be considered to have been made under Article 3.A.4. of this Manual. (14 U.S.C. § 275).

3.A.11. Procedures to Permanently Appoint Reserve and Temporary Officers

3.A.11.a. Appointments

With the advice and consent of the Senate, the President shall appoint temporary officers (except those appointed under the chief warrant officer to lieutenant program) and Reserve officers selected for integration as permanent Regular officers. Commander (CG PSC-OPM-1) will transmit appointment letters via the chain of command for delivery to the officer concerned (14 U.S.C. § 211).

3.A.11.b. Acceptance

An appointment as a permanent commissioned officer becomes effective only when the officer concerned accepts the appointment by completing the Acceptance and Oath of Office, Form CG-9556, to indicate acceptance; an additional letter is not required.

3.A.11.c. Oath of Office

An oath of office is required; for this purpose, Commander (CG PSC-OPM-1) transmits the Acceptance and Oath of Office, Form CG-9556, with the appointment letter. The officer shall not execute the oath of office before the date of rank specified in the appointment letter. After completing the oath, the officer forwards the original to their Administration Office and one copy to Commander (CG PSC-OPM-1).

3.A.11.d. Pay and Allowances

The pay and allowances of officers appointed under this Article remain unchanged since the appointments are in the grade in which the officers are serving or a lower grade.

3.A.11.e. Physical Examination

A physical examination is not required for officers serving on active duty.

3.A.11.f. Delaying Appointment

An officer's records available at Commander (CG PSC-PSD-MR) are complete only up to the date of the latest officer evaluation report; more than six months may elapse between that date and when an appointment letter is issued. Therefore, each officer in the chain of command is responsible for delaying an appointment letter if, in his or her knowledge, the appointee has disqualified him- or herself in the elapsed interval. Delaying an appointment letter consists of returning it to Commander (CG PSC-OPM-1) together with a succinct explanation of the circumstances which prompted the action. A disqualification here means any circumstance which casts serious doubt on the moral or

professional qualifications of the officer concerned for appointment as a permanent Coast Guard officer.

3.A.11.g. Discharge from Warrant, Enlisted, or Reserve Status

Members holding chief warrant officer, enlisted, or Reserve status who accept permanent appointment are discharged from their permanent status on accepting the appointment effective as of the day preceding that on which they execute the oath of office. See Article 1.A.2. of reference (c), Military Separations, COMDTINST M1000.4 (series).

3.A.12. Procedures to Promote Officers

3.A.12.a. Promotions

Under this Article, the President, by and with the advice of the Senate, promotes all Regular officers to the grades of lieutenant commander and above and all integrated Reserve officers to the grades of commander and above. The President alone promotes Regular officers to lieutenant and below and integrated Reserve officers to lieutenant commander and below. Promotions are authorized in this manner. Commander (CG PSC-OPM-1) publishes the Officer Promotion Authorization Listing (OPAL) monthly by general message. The OPAL authorizes commanding officers or officers exercising administrative control to promote commissioned officers, ensign through commander, and chief warrant officers to the next higher grade. A letter from the Commandant authorizes flag officer promotions; the OPAL announces them. In all cases, either a copy of the OPAL or the letter authorizing the promotion shall be delivered to the officer concerned.

3.A.12.b. Acceptance

Unless he or she expressly declines the promotion within five days after receipt, an officer promoted under this Article is considered to have accepted the promotion on its effective date.

3.A.12.c. Oath of Office

An officer who has served continuously since he or she subscribed to the oath of office prescribed in 5 U.S.C. § 3331 is not required to take a new oath on promotion to a higher grade (14 U.S.C. 273).

3.A.12.d. Pay and Allowances

An officer promoted under this Article is entitled to the pay and allowances of the grade to which promoted as of the effective date listed in a promotion letter or the OPAL (14 U.S.C. § 274).

3.A.12.e. Physical Examination

A physical examination is not required in promoting an officer to the next higher commissioned grade.

3.A.12.f. Delaying Promotion

Each officer in the chain of command or Commander (CG PSC-OPM) is responsible for delaying a promotion if he or she knows the appointee has disqualified him-or herself after being placed on a promotion list. Disqualification here means any circumstance which casts doubt on the moral or professional qualifications of the officer concerned, including pending action by a board of officers, courts-martial, or investigative proceedings (14 U.S.C. § 271(f)). The following actions will take place in this event:

- (1) Reporting Requirement. A complete report of the circumstances recommending removing the selectee from the promotion list under Article 3.A.4. of this Manual shall be sent to Commander (CG PSC-OPM). If the promotion letter is used for notification, include it if received; a copy of the OPAL need not be included. The selectee shall be furnished a copy of the report and required to acknowledge receipt. Attach a signed copy of the acknowledgment as an enclosure to the report.
 - (2) Notification Requirement if Initiated by CG PSC. If Commander (CG PSC-OPM) initiates delaying a promotion, he or she shall advise the officer concerned in writing of the reasons for so doing and require acknowledgment of receipt.
 - (3) Board of Officers. The Commandant shall refer the case to a board of officers to recommend to the President whether to remove the selectee from the promotion list. The officer concerned will be afforded 10 calendar days notice of the proceedings, and may communicate by memorandum to the board via Commander (CG PSC-OPM-1) in accordance with Article 3.A.6.h. of this Manual.
 - (4) Board Findings and Subsequent Actions. The President of the Board will forward a report of the proceedings of the board containing a recommendation to the Commandant as to whether the officer should be promoted, along with reasons for the recommendation. If the Commandant finds removal from the promotion list appropriate, he or she will forward the report with endorsements to the Secretary of Homeland Security (acting as the alter ego of the President), who is the final reviewing authority. If the Commandant determines that removal is inappropriate, the case is closed, and the delay of promotion is cancelled.
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3.A.13. Frocking Officers Selected for the Next Higher Grade

3.A.13.a. Conditions for Frocking

Under the authority of 14 U.S.C. § 632, the Commandant may frock Coast Guard officers; i.e., authorize a brevet to the grade to which selected but not yet promoted.

These officers may be considered for "frocking" under these circumstances:

- (1) Assignment to Another Agency or Service. The higher grade is necessary to clearly establish the officer's position when he or she reports to another agency or Service for duty.
- (2) To Attain Government Quarters. The higher grade is necessary to ensure the officer is assigned Government quarters commensurate with the grade in which he or she would serve.
- (3) To Maintain Coast Guard Image. In selected instances in which the officer is ordered to a command billet of the higher grade for which he or she had been selected and the higher grade is desired to maintain the Coast Guard's image in an area where he or she is the senior Coast Guard officer.
- (4) Essential to Carrying Out Duties. In selected instances in which the higher rank is a significant factor in establishing the officer's stature, thereby enhancing his or her ability to successfully carry out his or her duties.

3.A.13.b. Commands Authorized to Request Frocking

Flag Officers, SESs, and commanding officers of Headquarters units may request authority from Commander (CG PSC-OPM) or (CG PSC-RPM) to frock officers under their cognizance who meet any one of these requirements.

3.A.13.c. Frocking Procedure

Captain and commander assignment panels recommend to Commander (CG PSC) those officers who, in the panel's opinion, should be frocked to the next higher grade in conjunction with their future assignments. The general message announcing the panel results will note frockings approved in conjunction with assignment panels. Approved frockings generally are effective when the officer detaches from his or her current assignment; however, the official transfer orders issued by Commander (CG PSC-OPM-2) or (CG PSC-RPM-2) will contain actual authority.

3.A.13.d. Effective Dates

Officers selected for promotion who will be entitled to dates of rank earlier than the date the particular board is approved, either due to action of the Board for Correction of Military Records or to correct administrative error (14 U.S.C. § 262), will be frocked to the grade for which selected effective 10 days after Commander (CG PSC-OPM) or (CG PSC-RPM), as applicable, receives Senate confirmation (lieutenant commander and above) or Presidential appointment authority (below lieutenant commander). Also, Regular ensigns selected to lieutenant (junior grade) will be frocked, if required, when they complete the necessary time in grade. Commander (CG PSC-OPM-1) will perform these actions; they need not be separately requested.

3.A.13.e. Benefits

- (1) General. Frocked officers are authorized to:
 - (a) Assume the title and wear the insignia of the grade to which frocked.
 - (b) Housing commensurate with the grade to which frocked.
 - (c) A new Armed Forces Identification Card, , to reflect the higher grade, as outlined in Personnel and Pay Procedures Manual, PPCINST M1000.2 (series).
 - (2) Pay, Allowances, and Travel Entitlements. Pay, allowances, and travel entitlements accrue at the lower permanent grade. The higher grade's pay and allowances accrue from the effective date listed in the promotion letter or the OPAL as outlined in Article 3.A.12. of this Manual.
 - (3) Officer Evaluation Reports (OER). Officer evaluation reports continue to be submitted in the lower permanent grade as outlined in Article 5.A. of this Manual.
 - (4) Disciplinary Powers. Frocking does not authorize increased disciplinary powers under Article 15, Uniform Code of Military Justice (UCMJ).
 - (5) Time in Grade. Time in grade for determining retirement eligibility is computed from the appointment date, not the frocking date.
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3.B. Promoting Chief Warrant Officers

3.B.1 General

3.B.1.a. Definition

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

3.B.1.b. Billet Structure

Warrant officer billets are issued in the normal budgetary process and are independent of commissioned officer billets. All warrant officer billets are at the W-4 level. The Commandant shall maintain a list of all active duty Chief Warrant Officers other than those described in Title 10 U.S.C. § 582.

3.B.2 Warrant Officer Utilization

3.B.2.a Connection between Enlisted and Officer Corps

Coast Guard warrant officers are part of the officer corps. As such, they hold a unique organizational position. Warrant officers "fill the gap" between the enlisted corps and higher grade commissioned officers. They are able to fully understand and communicate with the enlisted technician. Through understanding the requirements and problems of the enlisted technician, as well as, the management requirements of the general line officer, warrant officers form an essential communications link between higher grade officers and enlisted. This communication, both up and down the chain, significantly contributes to the efficiency and effectiveness of the Service.

3.B.2.b. Warrant Officer Assignments

Warrant officers are assigned responsibilities and have authority commensurate with their experience including assignments as commanding officer, executive officer, engineering officer, division/section officers, and department heads aboard many kinds of units. The Service has a number of small units requiring the authority of a commissioned officer acting as commanding officer, but also requiring senior management to have strong technical knowledge. Warrant officers uniquely fill both Service needs. Therefore, using warrant officers deploys scarce resources more effectively.

3.B.3 Selection Process

3.B.3.a Original Appointments

- (1) All initial appointments to warrant grade shall be as W-2.
- (2) The CWO Indoctrination Course is mandatory for all newly appointed Chief Warrant Officers. Refer to the Chief Warrant Officer Indoctrination Course, COMDTINST 1500.1 (series) for further information.

3.B.3.b. Promotion Zone (10 U.S.C. § 574)

The promotion zone for the next higher grade will include all warrant officers who will have completed three years time in grade by the date the selection board convenes. Commander (CG PSC) will announce promotion zones via message.

3.B.3.c. Communication with Selection Boards (10 U.S.C. § 573(f))

- (1) General. Individuals eligible for consideration by a selection board may communicate directly with the board by letter arriving by the date the board convenes, inviting attention to any matter in his or her Armed Forces record. A letter sent under this paragraph may not criticize any officer or reflect on any officer's character, conduct, or motive (10 USC § 573(f)).
- (2) Correspondence Contents. Correspondence to the board shall be in care of Commander (CG PSC-OPM-1). Chain of command endorsements are optional. The only enclosures or attachments permitted are copies of official records and materials allowed to be submitted with officer evaluation reports under Article 5.A.4.c.(3) of this Manual. Do not solicit or submit as enclosures letters from other officers. To receive an acknowledgment, submit a completed, self-addressed Interim Response Card, Form CG-4217, with the letter.
- (3) Composition of Endorsements. Endorsements to letters submitted to selection boards shall not include opinions whether an individual should be selected for promotion or opinions on selection boards and their methods.

3.B.3.d. Convening of Selection Boards (10 U.S.C. § 573)

When Service needs dictate, the Commandant shall convene a selection board to recommend eligible active duty warrant officers for promotion. The schedule of board convening dates shall be published annually in reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).

3.B.3.e. Composition of Boards (10 USC § 573)

The board shall consist of at least five officers on the active duty promotion list above the permanent grade of lieutenant commander. Warrant officers, senior in grade to those under consideration, may be assigned as additional members of the selection board. No officer may serve on two consecutive boards if the second board considers any warrant officer who was considered by the first board. When reserve warrant officers are to be considered by the selection board, the membership of the board shall, if feasible, include at least one reserve officer.

3.B.3.f. Oath of Members of the Board (10 USC 573)

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

3.B.3.g. Information to be Furnished to Boards (10 USC 576)

Commander (CG PSC) shall furnish the selection board with a precept containing:

- (1) The maximum number of officers that the board may recommend for promotion to the next higher grade; and
- (2) The names and records of all chief warrant officers who are eligible for consideration for promotion to the grade to which the board will recommend chief warrant officers for promotion.
- (3) Such information and guidelines relating to the needs of the Coast Guard for chief warrant officers having particular skills.

3.B.3.h. Number to be Selected (10 USC 576)

- (1) The maximum number of warrant officers who may be selected for promotion to W-3 or W-4 shall be prescribed by the Commandant.
- (2) If a board is unable to select the number of warrant officers established by the Commandant because an insufficient number are determined to be fully qualified, only those officers who are found fully qualified for promotion may be recommended for promotion.

3.B.3.i. Finding Unfit or Unsatisfactory Performance (10 USC 576)

The selection board shall report the names of those chief warrant officers considered by it, whose records and reports establish, in its opinion, their unfitness or unsatisfactory performance in their permanent regular grade. The selection board will fulfill the requirements of a special board as outlined in Article 1.A.20.b. of reference (c), Military

Separations, COMDTINST M1000.4 (series). Warrant officers found unfit or unsatisfactory in their performance of duty by the selection board shall be referred to an evaluation board convened under the guidelines of Article 1.A.20.c. of reference (c), Military Separations, COMDTINST M1000.4 (series).

3.B.3.j. Procedures for Boards Considering Chief Warrant Officers on Both a Fully Qualified and a Best Qualified Basis (10 USC 575)

- (1) Board Guidance. Boards convened to consider chief warrant officers on a fully and best qualified basis for promotion shall refer to the guidelines in Article 6.A.7. of this Manual and may not recommend more than the number specified in the precept.
- (2) Findings of Not Fully-Qualified. In addition to the names and reasons for those found unsatisfactory pursuant to Article 3.B.3.i. of this Manual, the names of those officers found not fully-qualified, as well as the reasons for the findings, shall be included if less than the number specified in the precept are selected. In arriving at recommendations, the criteria in Article 6.A.7. of this Manual shall be followed.
- (3) Board Report. The board shall submit a report as provided in Article 6.A.7. of this Manual.

3.B.3.k. Selection Board Reports

- (1) Commandant's Authority. The Commandant may approve or disapprove all or part of the report. The Commandant shall determine whether the board acted contrary to law or regulation. If the Commandant determines that the board acted contrary to law or regulation, the Commandant shall return the report to the board for further proceedings, together with a written explanation of the determination. The selection board shall then conduct such proceedings as may be necessary to comply with the law and regulations, and shall submit a revised report to the Commandant (10 U.S.C. § 576).
- (2) Appointment Process. When the Commandant approves the selection board report, the Commandant shall place the names of the chief warrant officers approved for promotion on a single promotion list for each grade in order of their seniority and submit the list to the Secretary for their appointment by the President (10 U.S.C. § 578).

3.B.3.l. Failure of Selection (10 U.S.C. § 577)

A warrant officer who is not recommended for promotion is considered to have failed of selection. The date of failure of selection for promotion is the date the Commandant approves the report of a selection board not recommending the promotion or the date the name of the officer concerned is removed from a promotion list.

3.B.3.m. Effective Date of Promotion

Except in the case of a previous failure of selection for promotion, the date of appointment and the date of rank for promotion to W-3 or W-4 is as follows:

- (1) W-2 to W-3. Four years from date of appointment as W-2. For example, a W-2 appointed on 01 June 1991 would be promoted to W-3 on 01 June 1995.
- (2) W-3 to W-4. Four years from date of appointment as W-3. For example, a W-3 appointed on 01 June 1994 would be promoted to W-4 on 01 June 1998.

Note: Determining the date of rank of a chief warrant officer who has previously failed selection is outlined in Article 3.B.4. of this Manual.

3.B.4. Consideration by the Next Annual Selection Board**3.B.4.a. General (10 U.S.C. § 577)**

Warrant officers who once fail of selection shall be considered by each later selection board that considers chief warrant officers in their grade until they are retired, separated, or selected for promotion. Unless retained under the provisions of 10 U.S.C. § 580(a) or 10 U.S.C. § 580(e), a warrant officer who twice fails selection for promotion is not eligible for further consideration for promotion.

3.B.4.b. Selection by Subsequent Board (10 U.S.C. § 578)

The name of each warrant officer who failed selection while in the zone, and who is selected by a subsequent selection board, shall be placed on the new list prepared by the current board in order of existing seniority. Officers in this category shall be tendered appointment either one year after the date they would have been appointed had they been selected by the board immediately preceding the current board or the earliest date on which any warrant officer who has not failed of selection and whose name follows his or hers on the approved promotion list is promoted to the higher grade, whichever is earlier. The member's date of rank shall be the date of his or her promotion to the higher grade. A warrant officer not in the zone who is considered in accordance with Article 1.A.2.b. of reference (c), Military Separations, COMDTINST M1000.4 (series) shall not lose numbers until he or she enters the zone.

3.B.4.c. Failure of Selection by Subsequent Board (10 U.S.C. § 580)

- (1) Retirement Eligible. Unless continued, retired, or separated under some other provisions of law, a retirement eligible chief warrant officer who has twice failed selection for promotion to the next higher chief warrant officer grade shall be retired not later than the first day of the seventh month after approval of the findings of the board. Mandatory retirement will be effected under the provisions of 10 U.S.C. § 580, unless the officer concerned requests voluntary retirement under 10 U.S.C. §

1293. At the request of the member, the Commandant may defer the retirement of a warrant officer who twice fails selection for promotion to the next higher grade if the officer is serving in a temporary grade above chief warrant officer. When the warrant officer is retired or separated, the officer's commission in the temporary grade above chief warrant officer shall be terminated on the date the officer is retired or separated. In accordance with the provisions of 14 U.S.C. § 334, the officer shall be retired with the highest commissioned grade above chief warrant officer, W-4, held by him/her for not less than six months in which, as determined by the Coast Guard, the officer's performance of duty was satisfactory.

- (2) 18 Years Service. Unless continued, retired, promoted, or separated under another provision of law, a regular chief warrant officer who twice fails selection for promotion to the next higher grade and who has 18 years of service:
 - (a) On the date the Secretary approves the report of the board that did not select the officer for promotion to the next higher grade a second time,
 - (b) The date the officer's name is removed from the list of officers recommended for promotion by the selection board,
 - (c) The date the officer's name is removed from the promotion list, or
 - (d) Pursuant to 10 U.S.C. § 580(a)(4)(C), the date on which the officer would otherwise be separated 10 U.S.C. § 580(a)(4)(A), shall be retired on the first day of the month immediately following the month in which the officer completes 20 years of active service creditable for retirement. Such a warrant officer remains eligible to be considered for promotion by subsequent selection boards, and shall not be retired if the officer is selected for promotion prior to the retirement date.
- (3) Fewer Than 18 Years Service. Unless promoted, continued, discharged, or retired under another provision of law, a warrant officer who has fewer than 18 years service creditable for retirement, shall be discharged for twice failing of selection to the next higher grade on the first day of the seventh month following the date on which the report of the board is approved, the date on which the officer's name is removed from the recommended list of selectees, or the date on which the officer's name is removed from the promotion list, whichever applies.
- (4) Selected for Continuation. A regular warrant officer who twice fails selection for promotion may be continued on active duty if selected for continuation by a selection board. The Commandant will determine whether a Service need exists for warrant officers who twice fail of selection for promotion, and provide authority for their retention in the precept convening a selection board. The precept shall fix the maximum number of such officers that may be recommended for retention, and the period of retention. Officers continued on active duty pursuant to the recommendation of a selection board continue to be eligible for consideration for promotion. If not sooner retired or discharged under another provision of law, an

officer who is continued shall be discharged, or retired if eligible, upon the expiration of the period of continued service, unless promoted, on an approved list of selectees for promotion, continued pursuant to the recommendation of a subsequent selection board approved by the Commandant, or is within two years of qualifying for retirement under 10 U.S.C. § 1293.

3.B.5. Removal from a Promotion List

3.B.5.a. General (10 U.S.C. § 576(d))

When information of an adverse nature is received concerning a warrant officer subsequent to having been recommended for promotion by a selection board, but before an appointment letter has been tendered, or when an appointment letter is returned by an officer in the chain of command who deems the officer unqualified for the appointment, the name of the warrant officer shall be referred to a board per Article 1.A.20.b. of reference (c), Military Separations, COMDTINST M1000.4 (series). If the officer is found unfit or unsatisfactory, the warrant officer's name will also be referred to an evaluation board per Article 1.A.20.c. of reference (c), Military Separations, COMDTINST M1000.4 (series) unless the officer has fewer than three years as a commissioned warrant officer, then apply Article 1.A.19. of reference (c), Military Separations, COMDTINST M1000.4 (series).

3.B.5.b. Consideration by the Next Board (10 U.S.C. § 579)

A warrant officer whose name has been removed from the list of selectees pursuant to Article 3.B.5.a. of this Manual shall be considered for promotion by the next regularly scheduled selection board. If selected by this board, the warrant officer's name shall be replaced without prejudice on the list from which it was removed. The date of rank is the date it would have been had the member's name not been removed; pay and allowances accrue from the date of rank. If the warrant officer is not selected for promotion by this board, the officer shall be considered to have twice failed of selection for promotion, and shall be retired or separated as outlined in Article 3.B.4. of this Manual.

3.B.6. Procedures for Effecting Promotion of Warrant Officers

3.B.6.a. Promotions

The Officer Promotion Authorization Listing (OPAL) will be used to promote chief warrant officers to the next higher permanent grade (W-3 and W-4).

3.B.6.b. Withholding Promotion

It is the responsibility of each officer in the chain of command or Commander (CG PSC), to withhold the promotion of chief warrant officers if there is knowledge that they have disqualified themselves after being placed on a promotion list. Disqualification, as used herein, is deemed to be any circumstance which casts doubt on the moral or professional

qualifications of the warrant officer concerned. This includes pending action by a board of officers, courts-martial, or investigative proceedings. The withholding of a promotion by the command shall consist of the following action:

- (1) Contact Commander (CG PSC-OPM-1) by the most rapid means to execute appropriate pay action.
- (2) Return the appointment letter to Commander (CG PSC-OPM-1).
- (3) Provide a complete written report of the reason for withholding the promotion to Commander (CG PSC-OPM-1). The warrant officer concerned shall be furnished a copy of the report and shall be required to acknowledge receipt. A signed copy of the acknowledgment shall be attached as an enclosure to the report.

Note: If Commander (CG PSC) initiates withholding a promotion, the chief warrant officer shall be notified in writing of the reason(s) thereof and be required to acknowledge receipt. Upon completion of the notification action, the board action outlined in Article 3.B.5. of this Manual will be initiated.

3.B.6.c. Acceptance

Acceptance of promotion to the next higher grade is considered accomplished unless specifically declined within five days after receipt. A new oath shall not be administered.

3.B.6.d. Physical Examinations

A physical examination is not required for promotion of chief warrant officers serving on active duty.

3.B.7. Selection and Promoting Retired Warrant Officers Recalled to Active Duty

3.B.7.a. Eligibility for Selection for Promotion

- (1) Exceptions for Promoting Retired Recalled Warrant Officers. Except in circumstances such as wartime recall or cases of urgent Service need, retired warrant officers recalled to active duty shall not normally be eligible for promotion to the next higher grade. This exclusion will be noted in the recall order.
- (2) Promotion of Retired Recalled Warrant Officer who was Twice Non-Selected for Promotion Prior to Retirement. A retired warrant officer who at the time of retirement had once or twice failed of selection for promotion to the next higher grade shall in no case be eligible for promotion if recalled to active duty.

3.B.7.b. Selection

Under the circumstances noted above, when a board is convened, eligible retired warrant officers recalled to active duty will be considered for promotion by the warrant selection board consisting of five or more officers in the grade of commander or above convened for that purpose. Warrant officers, senior in grade to those under consideration, may be assigned as additional members of the selection board. Consideration for promotion will be on a fully qualified basis.

3.B.7.c. Failure of Selection

Any retired warrant officer recalled to active duty who fails selection for promotion shall be returned to the retired list not later than the first day of the seventh month after the date the selection board is approved by the Commandant.

3.B.7.d. Promotion

Promotion of retired warrant officers will be per the provisions of Article 3.B.6. of this Manual.

3.B.8. Selective Early Retirement Boards (SERB)**3.B.8.a. Selective Retirement Zone (10 U.S.C. § 581)**

Before convening a board to consider warrant officers for retirement, the Commandant shall establish a list which shall include each warrant officer on the active duty list, other than those warrant officers serving in a higher temporary grade who have not been previously considered by a SERB and who will complete at least seven years in the grade of W-4 as of 01 July following the board. Warrant officers with approved voluntary retirements and officers who are scheduled for mandatory retirement during the fiscal year in which the board convenes or the subsequent fiscal year, are excluded from consideration for selective retirement by the board. Requests for voluntary retirement from officers whom the SERB otherwise would consider will be considered if they are received no later than 30 days prior to the convening date of the SERB.

3.B.8.b. Convening of Boards (10 U.S.C. § 581)

The Commandant may, whenever the needs of the Service dictate, convene a board to recommend for retirement those warrant officers whose names are not on a list of warrant officers recommended for promotion and who are retirement eligible under any provision of law.

3.B.8.c. Communicating with the Selective Early Retirement Board

(1) Guidance. Refer to Article 3.B.3.c. of this Manual for guidance on communicating with Warrant Officer Selection Boards.

- (2) Submission of Communication. Communications to the selective early retirement board should be sent to: President, Chief Warrant Officer Selective Early Retirement Board, c/o Commander (CG PSC-OPM-1). Communications received will be acknowledged when a completed, self-addressed Interim Response Card, Form CG-4217, is submitted with the letter.

3.B.8.d. Composition of Boards

The board shall consist of at least five officers on the active duty promotion list above the permanent grade of lieutenant commander. Warrant officers senior to those under consideration may be assigned as additional members of the board.

3.B.8.e. Oath of Members of the Board (10 U.S.C. § 581(d)(1))

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

3.B.8.f. Number to be Recommended for Early Retirement (10 U.S.C. § 581(a))

The Commandant shall prescribe the maximum number of warrant officers who may be selected for early retirement.

3.B.8.g. Submission of Report

The board shall submit a report of its proceedings as outlined below:

- (1) A cover sheet
- (2) A listing of membership
- (3) A listing of the convening, meeting, and adjourning dates
- (4) A listing of the names of chief warrant officers recommended for early retirement
- (5) A certification that, in the opinion of at least a majority of the members of the board, the officers recommended should be retired
- (6) The signature of each member
- (7) The original precept, appended
- (8) The report of the board shall be submitted to the Commandant for approval, modification, or disapproval. If the board has acted contrary to the law or regulation, the Commandant shall return the report for proceedings in revision and resubmission.

3.B.8.h. Warrant Officers Recommended for Retirement (10 U.S.C. § 581)

- (1) Date Retirement is Authorized. A warrant officer who is recommended for retirement and whose retirement is approved by the Commandant shall be retired, under any provision of law under which the officer is eligible to retire, on the date requested and approved by the Commandant, which date shall not be later than the first day of the seventh month beginning after the month in which the Commandant approves the report of the board which recommended the warrant officer for retirement.
 - (2) Classification as Involuntary Retirement. The retirement of a warrant officer pursuant to this section shall be an involuntary retirement for purposes of any other provision of law.
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3.B.9. Lateral Change in Warrant Specialty

A request for lateral change in warrant officer specialty will be considered on its own merits, and a lateral change in specialty will be authorized only in those unique cases where it is clearly in the best interests of the Service to do so.

3.B.10. Appointing Chief Warrant Officers as Temporary Officers Under 14 U.S.C. § 214**3.B.10.a. General**

The primary objective of this program is to improve the inventory of officers in the middle grades in certain occupational fields where the special skills and experience of warrant officers are needed to round out the experience of the total officer population. A secondary objective is to provide a limited opportunity for upward mobility for deserving senior members of the warrant officer corps.

- (1) Appointments Based on Needs of the Service. The program will be responsive to the needs of the Service, limited in scope, and highly selective. Appointments will not necessarily be apportioned among all warrant officer specialties. The exact numbers and specialties will be determined annually based on projected Service needs and after considering the impact on critical enlisted ratings, officer promotion rates, and Officer Candidate School inputs.
- (2) Temporary Appointment. Selected applicants will be offered appointments as temporary regular officers and placed on the active duty promotion list per the provisions of Article 3.A.2. of this Manual. Permanent appointments will not be tendered to officers appointed under this program until the officer is selected by their first best-qualified promotion board and subsequently requests integration per Article 1.A.8. Selectees who do not integrate will continue to be eligible for promotion in their permanent warrant officer grade as set forth in Article 3.B.3. of this Manual.

- (3) Physician Assistant Specific Guidance. With the conversion of CWO (PYA) billets to commissioned officer billets, warrant physician assistants are encouraged to compete for appointment to lieutenant. Waivers of time in service requirements may be requested. Officers who do not meet degree requirements are encouraged to seek Coast Guard educational assistance.
- (4) CWOs Who Do Not Seek Appointment to Commissioned Officer Status. Officers currently in the CWO (PYA) grade who do not qualify for appointment, or who choose not to seek appointment to commissioned officer status, will be permitted to conclude their careers in the CWO (PYA) specialty. As CWO (PYA) billets are eliminated, these officers will be assigned to O-1 and O-2 grade billets.

3.B.10.b. Obligated Service

Appointees are obligated by acceptance of the appointment to serve as temporary officers for three years from date of appointment.

3.B.10.c. Assignments

Officers appointed as temporary lieutenants will be assigned to duty within the primary occupational field for which they were selected and will not normally be rotated out of such duty.

3.B.10.d. Reversion

Requests to revert from a temporary grade to a permanent warrant grade will normally be disapproved unless unique needs of the Service support the reversion. However, warrant officers who accept temporary appointments to lieutenant may revert to their warrant grade if twice non-selected for promotion. Those officers approved for reversion to their former warrant officer grade, who were appointed to a higher warrant grade subsequent to their appointment to lieutenant, must serve two years time in grade as required by Article 1.C.9. of reference (c), Military Separations, COMDTINST M1000.4 (series).

3.B.10.e. Retirement

- (1) Upon 30 Years Service. Upon completion of 30 years service, officers appointed under this program who do not integrate, as outlined in Article 1.A.8.a. of this Manual, shall be retired pursuant to 10 U.S.C. § 1305, in the highest grade satisfactorily held as outlined in 14 U.S.C. § 334 and 10 U.S.C. § 1371.
- (2) Twice Fail Selection. Lieutenants who twice fail selection for lieutenant commander will be retired, or reverted to their chief warrant officer grade, if they so request.

3.B.10.f. Original Appointment of Temporary Officers (14 U.S.C. § 214)

At such times as the needs of the Service dictate, the Commandant shall convene an

appointment board to recommend eligible warrant officers for appointment to temporary lieutenant. Reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), will publish the convening date of the board. The occupational fields and specialties needed for that promotion year will be announced by message.

3.B.10.g. Eligibility

Applications will be considered from chief warrant officers, W-3, W-4, or W-2 who will be considered by the W-3 selection board in the same promotion year. However, appointments of chief warrant officers W-2 to lieutenant, shall be offered only to those whose name appears on a promotion list to W-3. All applicants must have completed at least 13 years but not more than 26 years of active duty for retirement, computed to 30 June following the board. In addition to this active duty service requirement, applicants must possess normal color perception, which is required for all commissioned officers, O-1 and above. In addition, applicants for the MMS (Deck) and MMS (Engineering) specialties must hold qualification (hull inspector and/or machinery inspector) for the specific occupational field(s) requested. Qualification letters must be appended to the application/resume.

3.B.10.h. Application

Applications may be made for only the occupational field which is related to the warrant officer specialty listed in Article 3.B.10.h.(3) of this Manual. If the applicant is serving in a warrant specialty which is related to more than one of the occupational fields offered, the officer may request consideration for more than one; however, the officer must specify the order of preference (i.e, first and second choice).

- (1) Form and Content. Candidates shall apply via Direct Access E-Resume requesting consideration by the CWO to LT selection board. The E-Resume is used to populate Direct Access which informs Commander (CG PSC-OPM-1) of the members' candidacy. In addition, candidates must apply by memorandum to Commander (CG PSC-OPM-1) via their immediate command. The selection board will use the candidates' memorandum as one of the selection criteria. No enclosures to the application are permitted with the exception of hull or machinery qualification letters. The application/resume shall be submitted in Basic Coast Guard memorandum format (limited to a maximum of 2 pages, single-sided, single-spaced, 12 point text with 1 inch margins) and in the following sequence:
 - (a) Paragraph 1. The occupational field, or fields (specify preference) for which the candidate is applying.
 - (b) Paragraph 2. The historical summary of units assigned as a CWO with the primary and collateral duties assumed for each (listed in chronological order with the most recent first).

- (c) Paragraph 3. A summary of major professional accomplishments including medals, awards, and academic achievements. (List only personal medals and awards. Do not list all ribbons earned.).
 - (d) Paragraph 4. A statement addressing the candidate’s reasons for desiring appointment to the grade of lieutenant.
- (2) Endorsement. The E-Interview portion of the E-Resume shall not be completed. Endorsements are to be completed as attachments to the letter application. The commanding officer's endorsement shall address the applicant's potential to perform successfully in the grade of temporary lieutenant and shall include a computation of the applicant's total service computed to 30 June following the board. The command endorsement is limited to one page.
- (3) Specialties. Chief warrant officers who meet the eligibility requirements of this Article may apply to the occupational field or fields that are related to their specialty as indicated below:

| Officer Specialty | Warrant Specialty |
|------------------------------|--|
| Aviation | Aviation Aircraft Maintenance (AVI) |
| C4I | Electronics (ELC) Information Systems Manager (ISM) Operations System Specialist (OSS) |
| Engineering | Naval Engineering (ENG) Material (MAT) |
| Finance | Finance and Supply (F&S) |
| Human Resources | Personnel (PERS) |
| Intelligence | Intelligence System Specialist (ISS) |
| Legal | None |
| Medical | Medical Admin (MED) |
| Operations Afloat | Boatswain (BOSN) Weapons (WEPS) |
| Operations Ashore-Prevention | Marine Safety Specialist – Engineering (MSSE) Marine Safety Specialist – Deck (MSSD) |
| Operations Ashore – Response | Maritime Law Enforcement and Security (MLES) Operations System Specialist (OSS) Boatswain (BOSN) |

3.B.10.i. Waivers

Except as noted in Article 3.B.10.a.(3) of this Manual, waivers of eligibility requirements will not normally be granted.

CHAPTER 4 OFFICER QUALIFICATIONS

4.A. Officer Qualifications

4.A.1. Coast Guard Aviators

4.A.1.a. Coast Guard Aviators

A Coast Guard aviator is a commissioned officer of the Coast Guard who has successfully completed an approved military flight training course and has been designated as a Coast Guard aviator by the Commandant.

4.A.1.b. Student Coast Guard Aviator

A student Coast Guard aviator is a commissioned officer or enlisted aviation cadet who is under instruction in an approved flight training program leading to designation as a Coast Guard aviator.

4.A.1.c. Aviator Insignia

Designation as a Coast Guard aviator carries authorization to wear the Aviator Insignia as prescribed in reference (m), Uniform Regulations, COMDTINST M1020.6 (series). 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.

4.A.1.d. Physical Standards and Disposition

- (1) Service Groups. A Service Group is an aviator classification based upon age and/or physical condition. The definitions, limitations, and physical requirements of the three Service Groups are set forth in reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).
- (2) Failure to Meet Physical Qualifications of Assigned Service Groups. Should any aviator fail to meet the prescribed physical standards for his/her Service Group for reasons other than obviously transient or temporary conditions, such failure shall be set forth in Report of Medical Examination, SF-88, and be forwarded to Commander (CG PSC-OPM).
 - (a) Commanding Officer Responsibilities. The commanding officer, pending review of the SF-88 by Commander (CG PSC-OPM), on advice of a military flight surgeon or a military aviation medical examiner, will either:

[1] Ground the aviator if the defect is disqualifying (Refer to Article 4.A.1.f. of this Manual.); or

[2] Restrict him/her to flight duties of the Service Group for which he/she was found qualified.

(b) Commander (CG PSC) Responsibilities. Commander, (CG PSC) will make one of the following dispositions:

[1] Waiver of defect

[2] Change of Service Group.

[3] Restriction to flight duties of lesser tempo commensurate with present temporary physical condition. (Limited to pilots recuperating from injuries or illness.)

[4] Termination of flight status.

[5] Referral to the Board of Navy Flight Surgeons, Pensacola, Florida.

[6] Referral to a medical board.

4.A.1.e. Categories

Coast Guard aviators are also classified by age and/or number of years designated as an aviator. This classification has been established by the Commandant as part of a broader program related to flight requirements and incentive pay. The minimum and maximum flight requirements for the various categories are published in reference (l), Coast Guard Air Operations Manual, COMDTINST M3710.1 (series). Regulations and instructions for the payment of incentive pay for the various categories are set forth in reference (g), Coast Guard Pay Manual, COMDTINST M7220.29 (series). Orders to duty in flying status are a requisite for entitlement to incentive pay regardless of category. All aviators in a flying status, regardless of category, shall continue to fulfill current flight physical examination requirements and meet the standards prescribed in reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series), for Class I aviation personnel. The four categories are as follows:

(1) CATEGORY I. Those aviators under 45 years of age and designated less than 20 years.

(2) CATEGORY II. Those aviators who are either:

(a) Forty-five years of age or more, or

(b) Designated 20 years or more.

(3) CATEGORY III. Those aviators who are both 45 years of age or more and have been designated 20 years or more.

(4) CATEGORY IV. Those aviators placed in this category by the Commandant who either:

- (a) Have been designated 15 years or more, or
- (b) Whose particular assignments outside the United States or in Alaska make it impracticable to participate in regular aerial flights.

4.A.1.f. Grounding

Grounding is an informal and temporary restriction of flight duties. It is normally applied as a consequence of transient illnesses or incapacitation's from which full recovery is expected within a twelve month period. It is normally applied before suspension and is an appropriate action pending confirmation or final diagnosis of any physical defect. Groundings are administered as prescribed by the cognizant commanding officer.

4.A.1.g. Suspension from Flight Status

Suspension from flight status is a formal restriction of flight duties which may develop into permanent termination of flight status.

(1) Authority to Suspend Flight Status. The Commandant or the commanding officer of an air unit may suspend an officer from flying status when any of the conditions described in Article 4.A.1.g.(2) below. Suspension orders may be issued verbally or in writing. In those cases where suspension was imposed verbally, the suspending authority will confirm the action in writing as soon as practicable. Suspension orders will cite the appropriate paragraph as authority.

(2) When Suspension May Be Imposed. Suspension orders may be issued when:

- (a) Referred to an Aviator Evaluation Board. An officer has been referred to an aviator evaluation board in accordance with Article 4.A.1.h. of this Manual.
- (b) Fear of Flying. An officer shows an incapacitating fear of flying. A suspending authority will suspend from flying status any officer who has professed in writing a fear of flying or who has been found so disposed by examination by a military flight surgeon. In the former case, action will be taken in accordance with Article 4.A.1.g.(1) above. In those cases where action has been initiated by a military flight surgeon but the diagnosis is not definite, the aviator shall be grounded and the case referred to Commander (CG PSC-OPM). Commander (CG PSC) will make disposition in one or more of the following forms:

[1] Return the aviator to flight duty.

[2] Convene an aviator evaluation board.

[3] Order the aviator to be examined by the special Board of Flight Surgeons at Pensacola, Florida.

- (c) An Officer Voluntarily Requests Termination of Flight Status. Coast Guard aviators who voluntarily request termination of their flight status shall be immediately suspended from further flight duties by their commanding officer or administrative senior and shall be directed to submit an official request to Commander (CG PSC-OPM) via the chain of command. An advance copy shall be forwarded directly to Commander (CG PSC-OPM). A report on the case by a military flight surgeon, preferably CG, and a new E-Resume, shall accompany the request. The date that the flight status was suspended shall be included in the commanding officer's endorsement.

- (d) The Officer is Physically Disqualified. After an officer has been grounded for a physical defect for twelve months and the defect continues to be disqualifying, he/she shall be suspended from flight status. If the officer met flight requirements for entitlement to pay for the month in which he/she became incapacitated, the waiting period will begin on the first day of the following month, otherwise it will begin on the first day of the month in which the officer became incapacitated. It is emphasized that even though no suspension is imposed during the waiting period, an officer will not be permitted to fly until certified to be physically qualified for return to flight duties. When suspension becomes necessary, the commanding officer will issue written suspension orders which will include the original date of incapacitation. A copy of the orders will be sent directly to Commander (CG PSC- OPM). In cases where the defect is "prima facie" permanently disqualifying or where qualification is not regained within twelve months, the case shall be referred to a medical board. For the effects of suspension upon incentive pay entitlements for all aviator categories, refer to reference (g), Coast Guard Pay Manual, COMDTINST M7220.29 (series).

- (3) Authority to Certify as Physically Qualified. Refer to Article 3.H.3 of reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).

- (4) Removal of Suspension. Except when imposed for voluntary termination (refer to Article 4.A.1.g.(2)(c) above), suspension may be revoked by the imposing command when the reason for suspension no longer exists. The Commandant may remove any suspension at any time.

4.A.1.h. A Coast Guard Aviator Evaluation Board

A Coast Guard Aviator Evaluation Board will be convened by Commander (CG PSC) when necessary to evaluate the performance, potential, and motivation for continued service in flight status of certain Coast Guard aviators. The Board will function in an advisory capacity to the convening authority and will recommend appropriate action ensure that only those aviators are continued in a flying status who can satisfactorily perform the duties required. The Board is not a disciplinary agency in any respect; any

action resulting from Board recommendation is not disciplinary in nature but is intended solely to support the safety of flight operations. Where events leading to Board action also require disciplinary action, the commanding officer or administrative senior, whenever possible, should take such action before the Board is convened; however, it is not required or necessary that the Board be informed of the action taken.

- (1) When Convened. Commander (CG PSC) will normally convene a Coast Guard Aviator Evaluation Board within 30 days of advisement by the commanding officer or administrative senior of the Coast Guard aviator that any of the following conditions are considered to exist:
 - (a) Faulty Judgment. The aviator has demonstrated faulty judgment in flight situations. This may be evidenced by serious or repeated violations of flight discipline or mishaps involving pilot judgment.
 - (b) Lack of Skill. The aviator has demonstrated a lack of general or specific flight skills. This may be evidenced by mishaps or near mishaps involving pilot skill, failure to satisfactorily complete all or any part of a prescribed training syllabus, or failure to comply with minimum annual flight requirements for reasons within his/her control.
 - (c) Lack of Mental Abilities. The aviator has demonstrated certain habits, traits of character, emotional tendencies, lack of mental aptitude, or motivation that makes questionable his/her continuance in assigned flying duties.
 - (d) Professionally Unfit. The aviator is considered to be professionally unfit for flying for any reason not specified above.
 - (e) Not Aeronautically Adaptable. The aviator is considered by a military flight surgeon not to be aeronautically adaptable.
- (2) Commanding Officer's Preparation for Board. The most important reason for removing an aviator from flying status is safety, yet the Safety and Environmental Health Manual, COMDTINST M5100.47 (series) prohibits the use of an accident or incident report as evidence for evaluation boards. Therefore, documentation must be derived from other sources such as an informal board of investigation, Flight Examining Board minutes, notes to the file, evaluation reports, training records, etc. The following general guidelines shall be followed in preparing for the Board:
 - (a) Discuss the deficiencies with the aviator involved.
 - (b) If the commanding officer is current in the model aircraft flown by the aviator under question, then he/she should fly with him/her and evaluate his/her performance.
 - (c) Several members of the Flight Examining Board should evaluate, in writing, the

aviator's performance over a period of time.

- (d) When an aviator's performance is considered substandard, the commanding officer should direct, in writing, that a program or a plan for additional training be established with definite objectives outlined.
- (e) Evaluation report comments and marks should coincide with those of the aviator's training and/or syllabus records. When the performance of an aircraft commander (AC) is questioned, then:

[1] The commanding officer should counsel him/her and then write a memorandum to the file. Have the aviator read and sign the memorandum.

[2] If the commanding officer revokes an aviator's AC designation, training objectives for requalification should be established unless this action is not feasible.

[3] When an aviator, who is not an AC is having difficulties, comments reflecting his/her performance should be made in his/her training record after every flight.

(3) Data Required.

The commanding officer shall forward the following material to Commander (CG PSC) when an aviator is to be considered by the Board:

- (a) A summary of the facts pertinent to the case, including documentation of the commanding officers preparatory action listed in Article 4.A.1.h.(2) of this Manual.
- (b) Statement of witnesses, if applicable.
- (c) Notification in writing from the commanding officer to the officer that he/she is being recommended for an Aviator Evaluation/Disposition Board with specific references to the reasons for the recommendation.
- (d) Written acknowledgment from the aviator concerned, including a statement that he/she fully understands the purpose of the Board.
- (e) A statement containing the commanding officer's evaluation of the individual's capabilities as a Coast Guard aviator.
- (f) The aviator's flight logs, training records, and any pertinent correspondence, such as ATC Mobile evaluation, minutes of Unit Standardization Board, etc.
- (g) Summary of total flight hours, total hours for the previous three months, total

hours by model for the previous three months, and the types of aircraft which the aviator is currently qualified to fly.

(h) An evaluation by a military flight surgeon, preferably CG.

(4) Documents Provided to the Board. Board members should be provided with a copy of the case file in advance of board proceedings.

4.A.1.i. Legal Counsel

Legal counsel is not a requirement for an informal board. If the evaluatee requests and is afforded legal counsel by the convening authority, the Board should also be provided counsel.

4.A.1.j. Membership of Boards

A Coast Guard Aviator Evaluation Board shall consist of three Coast Guard aviators and a military flight surgeon, preferably CG. The aviator members shall be senior to the aviator whose performance is under evaluation and should be completely familiar with the type of flight operations involved. No member shall be appointed who is considered to be a prospective witness or interested party. The senior aviator shall act as senior member of the Board. Selections normally shall be made so as to provide representation from Officer Personnel Management (CG PSC-OPM), Aviation Division, Commandant (CG-711), and Operational Medicine and Medical Readiness, Commandant (CG-1121). Other aviators shall be designated by Commander (CG PSC) as required to complete the Board.

4.A.1.k. Board Action

(1) Board Recommendations. The Board shall carefully consider the data listed above and make one or more of the following recommendations:

- (a) Continuation in full flight status.
- (b) Probationary flight status for a definite period.
- (c) Additional training.
- (d) Orders to duty not involving flying.
- (e) In the case of a Reserve officer, retention on or release from active duty.

(2) Board Proceedings. Board proceedings are to be kept informal to permit a free exchange of information and development of additional relevant facts.

(3) Board Questioning. It is essential that the Board and the evaluatee be given the

opportunity to cross-examine witnesses. It is also important that the Board question the evaluatee. The evaluatee and a reasonable number of witnesses should appear in person during Board proceedings.

- (4) Opening Comments/Statements. Sample opening comments and statements to witnesses by the senior member will be provided by Commander (CG PSC) for each Board.

4.A.1.l. Review and Notification

Upon completion, the Board will submit all pertinent documents together with its findings and recommendations, signed by all members, to Commander (CG PSC) for review. Letter notification of final action as approved by Commander (CG PSC) will be forwarded to the individual via the chain of command.

4.A.1.m. Minority Report

When the Board members are not unanimous in their recommendation, a minority report may be included.

4.A.1.n. Disciplinary Action

Situations involving aviators where disciplinary action is indicated shall be handled in accordance with instructions applicable to all Coast Guard officers. Suspension from duty involving flying is not a disciplinary measure. Further, since the action of an Aviator Evaluation Board is not of a disciplinary nature, its recommendations do not create a bar to disciplinary measures.

4.A.1.o. Reassignment Upon Termination of Flight Status

Aviators whose flight status has been terminated as a result of actions taken under Articles 4.A.1.d., 4.A.1.g., or 4.A.1.h. of this Manual will be reassigned to duty or released as required by the needs of the Service at that time.

4.A.1.p. Restoration to Duty Involving Flying

A former Coast Guard aviator will not normally be reinstated in flight status when the removal from flight status was a result of any of the following:

- (1) Voluntary request.
- (2) Recommendation of the Aviator Evaluation Board.
- (3) Voluntary acceptance of a change in status or entry into a program which does not require flight status, e.g., RPA Program. Regardless of the reason for original removal from flight status an aviator will not normally be considered for

reinstatement if flight status was terminated more than 18 months prior to initiation of a request for reinstatement or his/her age, grade, specialty, or previous flight experience indicate that he/she cannot be expected to fill an operating flying billet satisfactorily. Requests for reinstatement shall be addressed to Commander (CG PSC-OPM) via the chain of command and shall be accompanied by a completed Report of Medical Examination, SF-88.

4.A.2. Coast Guard Astronaut Designation

4.A.2.a. Astronaut Pilot Designation

- (1) The qualifications for astronaut pilot are as follows:
 - (a) Currently on flying status as a Coast Guard pilot.
 - (b) Trained, qualified and certified to fly a powered vehicle designed for flight above 50 miles from the earth's surface and/or serve as a mission specialist on a powered vehicle designed for flight above 50 miles from the earth's surface.
 - (c) Minimum of one flight as a pilot or mission specialist on an extraterrestrial vehicle in a flight above 50 miles from the earth's surface.
- (2) Only the Commandant may designate Coast Guard astronaut pilots.
- (3) The designation specified above carries the authorization to wear the Coast Guard Astronaut Pilot Insignia prescribed in reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

4.A.2.b. Astronaut Flight Officer Designation

- (1) The qualifications for astronaut flight officer are as follows:
 - (a) Currently on flying status as a flight officer.
 - (b) Trained, qualified and certified to fly as a mission or payload specialist in powered vehicles designed for flight above 50 miles from the earth's surface.
 - (c) Minimum of one flight as a mission or payload specialist in powered vehicles designed for flight above 50 miles from the earth's surface.
- (2) Only the Commandant may designate astronaut flight officers.
- (3) The designation specified above carries the authorization to wear the Coast Guard Astronaut Flight Officer Insignia prescribed in reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

4.A.2.c. Astronaut Specialist Designation

(1) The qualifications for astronaut specialist are as follows:

- (a) Currently on flying status as a shuttle astronaut mission or payload specialist but not qualified as a Coast Guard pilot or flight officer.
- (b) Trained, qualified and certified as a mission or payload specialist aboard an extraterrestrial vehicle in a flight above 50 miles from the earth's surface.
- (c) Minimum of one flight as a mission or payload specialist aboard an extraterrestrial vehicle in a flight above 50 miles from the earth's surface.

(2) Only the Commandant may designate astronaut specialists.

4.A.3. Aviation Maintenance Officer

An aviation maintenance officer is a designated aviator who has successfully completed an approved course of instruction or program in aircraft maintenance procedure or administration, or a chief warrant officer (AVI). Commander (CG PSC-OPM) designates qualified officers as aviation maintenance officers.

4.A.4. Technical Observers

4.A.4.a. General

The term "technical observer" is applied to officers who do not possess an aviation designation but who are detailed to duty involving flying. A technical observer is listed as a noncrew member aboard an aircraft. Refer to the Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 (series) for application criteria to receive flight orders as noncrew members. The following apply to technical observers:

- (1) A technical observer is not a designation and carries with it no authority to wear an insignia or identification.
- (2) Technical observers are required to meet the physical standards set forth in Article 3.G of reference (b), Coast Guard Medical Manual, COMDTINST M6000.1 (series).
- (3) Officers, except Coast Guard aviators and flight surgeons, may be detailed to duty involving flying as technical observers to perform essential in-flight duties.

4.A.4.b. Requests for Detail of Officers as Technical Observers

- (1) Requirements for Approval of Technical Observers. A commanding officer may request from Commander (CG PSC-OPM) that an officer be detailed to perform in-flight duties when the following general provisions are met:

- (a) Such in-flight duties are essential in the execution of the command's mission or in maintaining operational readiness, usually to complete a specific project or in conjunction with special duties.
 - (b) Such in-flight duties cannot be performed by any other individual, officer or enlisted, available in the command who is already under orders to duty involving flying.
 - (c) Such in-flight duties require the individual to participate in frequent and regular flights.
 - (d) Individuals have been certified by a military flight surgeon as being physically qualified, temperamentally suited, and aeronautically adapted for duty involving flying in connection with indicated flight duties.
- (2) Circumstances that do not Require Approval. Requests by a commanding officer are not required in the following instances:
- (a) For chief warrant officers (AVI) and (ELC) assigned to aviation units. A technical observer's orders will be issued by Commander (CG PSC-OPM) concurrently with the basic assignment orders.
 - (b) For ice observers for scheduled icebreaker deployments when helicopters are attached. Technical observer orders for the commanding officer, executive officer, and operations officer will be issued automatically by Commander (CG PSC-OPM) in advance of the scheduled sailing date. In both instances, the provisions of Article 4.A.4.d. of this Manual apply.

4.A.4.c. Standard Request Format

- (1) Format of Request. Submit requests for technical observers in the following format:

From: Commanding Officer, (unit)

To: Commander (CG PSC-OPM)

Via: Commander, Coast Guard District

Subj: REQUEST FOR ORDERS TO DUTY INVOLVING FLYING AS A TECHNICAL OBSERVER

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3 (series), Article 4.A.4.

1. It is requested that (grade, full name, service number) be detailed to duty

involving flying as a technical observer in connection with his/her duties as a (describe duties in detail to permit comprehensive review).

2. It is requested that these orders be effective for the period _____.

Encl: (1) Statement of flight surgeon establishing physical qualifications for duty involving flight.

(2) Approval of Technical Observers. Addressees in the chain of command shall familiarize themselves with the respective command needs and make positive comments and recommendations concerning such requests. If approved, orders detailing officers to duty involving flying as technical observers will be issued by Commander (CG PSC-OPM) to meet the needs of the Service, within budgetary limitations. Such orders become effective on the day the individual reports to his/her commanding officer for duty involving flying and cannot be made retroactive.

4.A.4.d. Statement of Flying Time

An officer detailed to duty involving flying as a technical observer shall, on the last day of each fiscal year and on termination of orders for any reason, submit an original statement of flying time to Commander (CG PSC-OPM) via the chain of command. The following standard format shall be used for the submission of the annual or termination of flying time:

From: (Grade, full name, service number)

To: Commander (CG PSC-OPM)

Via: (1) Commanding Officer, (unit)
(2) Commander, Coast Guard District

Subj: STATEMENT OF FLYING TIME (ANNUAL) (TERMINATION) AS
TECHNICAL OBSERVER

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST
M1000.3 (series), Article 4.A.4.

1. As directed by reference (a), the following statement of individual flying time is submitted:

a. Annual.

(1) Total flight time this fiscal year: _____

(2) Total sorties this fiscal year: _____

(3) Nature of airborne duties: _____

b. Termination.

(1) Total flight time this fiscal year: _____

(2) Technical Observer orders expired on: _____

or

(3) Technical Observer orders revoked/suspended (give date and reason).

Encl: (1) Original statement of flying time

4.A.4.e. Termination of Technical Observer Orders

(1) Circumstances Which Effect Termination. Orders to duty involving flying as a technical observer will be terminated by:

(a) Change of assignment.

(b) Change of duty from that upon which orders were justified, even though within the same command.

(c) Termination of the special project for which the orders were issued.

(d) Failure to remain physically qualified and aeronautically adapted for flight.

(2) Commanding Officer Responsibility. In those cases where an officer flying as a technical observer requests termination of orders to duty involving flying, or a commanding officer deems it necessary or desirable to terminate an officer's detail to duty involving flying because of loss of motivation, unsatisfactory performance, and/or similar reasons, the commanding officer shall immediately suspend the individual from further flight duties and submit a termination report, including the flight surgeon's comments and recommendations where required by the circumstances, to Commander (CG PSC-OPM) via the district commander.

4.A.4.f. Command Responsibility

Commands having officers detailed to duty involving flying as technical observers shall institute appropriate procedures to ensure submission of required reports and termination of orders to duty involving flying when the justification of such orders is changed, or no longer exists. Individuals detailed to duty involving flying as technical observers will be identified as noncrew members on all flight reports and certificates.

4.A.5. Flight Surgeons and Aviation Medical Examiners

Refer to Public Health Service Officers Detailed to the Coast Guard, COMDTINST 1000.11 (series).

4.A.6. Coast Guard Judge Advocate

4.A.6.a. Coast Guard Judge Advocate

A Coast Guard Judge Advocate is a commissioned officer of the Coast Guard who has successfully completed all requirements specified in Article 4.A.6.b. below and has been designated as a judge advocate by the Commandant.

4.A.6.b. Eligibility

Active duty commissioned officers of the Coast Guard and commissioned officers of the Coast Guard Reserve serving on active duty or in a Coast Guard Reserve legal billet if not on active duty are eligible to be designated a judge advocate provided they are:

- (1) A graduate from a law school accredited by the American Bar Association.
- (2) An active member of the bar of a Federal court or the highest court of a state or territory of the United States or the District of Columbia.
- (3) Assigned to PCS duty as a judge advocate, or approved for such designation by the Chief Counsel, e.g., serving in a Coast Guard Reserve legal billet if not on active duty.

4.A.6.c. Procedures

Commissioned officers desiring designation as a judge advocate shall submit a letter request via their chain of command to Commandant (CG-0948) for determination by the Chief Counsel. When a designation is made, Commandant (CG-0948) will notify Commander (CG PSC-OPM) for appropriate documentation in the records. The letter should contain the following information:

- (1) Name of the law school attended and graduation date.
- (2) Name of the bar in which admitted to practice law and admission date(s).
- (3) The officer billet code number and specific legal duty to which assigned, or other basis for requesting designation.

NOTE: Evidence of law school graduation and a license to practice law shall also be enclosed with the basic letter.

4.A.7. Command at Sea Insignia

4.A.7.a. Recognition

The Coast Guard Command at Sea Insignia has been established to provide recognition to those officers who are in command of, or who have successfully commanded as commissioned officers or chief warrant officers, cutters of the Coast Guard. The Command at Sea Insignia shall be worn in accordance with reference (m), Uniform Regulations, COMDTINST M1020.6 (series). Only officers below flag rank are authorized to wear this insignia.

4.A.7.b. Eligibility

Commissioned officers and chief warrant officers of the Coast Guard and Coast Guard Reserve in the grade of captain or below are eligible to wear the Coast Guard Command at Sea Insignia providing they:

- (1) Are currently in command, or have successfully commanded for a period of six continuous months, commissioned cutters of the Coast Guard.
- (2) Are currently in command, or have successfully commanded for period of six continuous months, divisions of cutters.
- (3) Are currently in command, or have successfully commanded for a period of six continuous months, aids to navigation facilities (ANFAC).
- (4) Are currently assigned or have been assigned to a cutter with an augmented crew and must have successfully acted in the capacity as commanding officer for a total of six months.
- (5) Are currently assigned or have been assigned to a division of cutters in the capacity as one of the commanding officers and must have successfully acted in the capacity as commanding officer for a total of six months.
- (6) Active duty officers who meet the above criteria and who are not authorized by nature of their current assignment to wear this insignia shall submit requests via the chain of command to Commander (CG PSC-OPM) setting forth their qualifications for this insignia. Retired active duty officers who desire authorization should submit requests directly to Commandant (CG-122). Inactive duty officers who desire authorization should submit requests directly to Commander (CG PSC-RPM).

NOTE: For Reserve officers to achieve eligibility, they must meet or have met the above criteria while on active duty.

4.A.7.c. Authority

Authorization to wear this insignia shall be granted in writing by the area or district commander, as appropriate, as follows:

- (1) Active Duty Officers. For active duty officers currently in command pursuant to orders issued by Commander (CG PSC-OPM); and for active duty officers upon successful completion of command using the criteria in Article 4.A.7.d. of this Manual.
- (2) Inactive Duty Officers. For inactive duty officers who successfully completed a command afloat tour while on active duty, using the criteria in Article 4.A.7.d. of this Manual.

4.A.7.d. Successful Completion of Command

The below criteria are considered mandatory for successful command completion. The area or district commander will be guided by them in making his/her determination unless unique circumstances dictate additional criteria are necessary.

- (1) The officer has fulfilled the eligibility requirements in Article 4.A.7.b. of this Manual.
- (2) The officer has not been removed for cause during the tour.
- (3) The officer has not been the subject of any disciplinary action during the tour, or the disciplinary action was a result of a minor, isolated incident which was not indicative of the officer's overall performance in command.

NOTE: The decision NOT to award a command insignia and certificate must be based on documented facts rather than empty generalities or vague impressions. Any such decisions against granting the insignia and certificate must be forwarded in writing to Commander (CG PSC) for appropriate filing.

4.A.7.e. Issue and Procurement

The awarding of this insignia should be made with an appropriate accompanying ceremony. The initial issue of this insignia shall be provided to the officer by the Coast Guard, and shall be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are a responsibility of the officer. A Command at Sea Certificate, Form CG-5065, shall be issued by the area or district commander, as appropriate, upon successful completion of command or when directed by Commander (CG PSC-OPM) or (CG PSC-RPM).

4.A.8. Officer in Charge Insignia

Refer to Article 4.A.1. of reference (i), Enlisted Accessions, Evaluations, and

Advancements, COMDTINST M1000.2 (series).

4.A.9. Command Ashore Insignia

4.A.9.a. Recognition

The Command Ashore Insignia has been established to provide recognition to those officers who are in command of, or who have successfully commanded as commissioned officers or chief warrant officers, shore units of the Coast Guard or Coast Guard Reserve. The Command Ashore Insignia shall be worn in accordance with reference (m), Uniform Regulations, COMDTINST M1020.6 (series). Only officers below flag rank are authorized to wear this insignia.

4.A.9.b. Eligibility

Commissioned officers and chief warrant officers of the Coast Guard and Coast Guard Reserve, in the grade of captain or below are eligible for this insignia when the below criteria is met:

- (1) They are currently in command, or have successfully commanded for a period of six continuous months, a shore unit of the Coast Guard or Coast Guard Reserve.
- (2) Command must be inherent in the billet, and there must be 10 or more military personnel permanently assigned or attending schools operated by the unit on a continuing basis. (Includes group, section, and activity commands when such units exercise command over subordinate units having 10 or more military personnel permanently assigned.)
- (3) Active duty officers who meet the above criteria and who are not authorized by nature of their current assignment to wear this insignia, or who command a unit where permanently assigned military billets exceed 10 for a limited period of time, shall submit requests via the chain of command to Commander (CG PSC-OPM), or to Commander (CG PSC-RPM) in the case of inactive duty officers, setting forth their qualifications for this insignia. Retired active duty officers who desire authorization should submit requests directly to Commandant (CG-122). Retired inactive duty officers who desire authorization should submit requests directly to Commander (CG PSC-RPM).

4.A.9.c. Authority

The authority to wear this insignia shall be granted in writing by the area or district commander, as appropriate, as follows:

- (1) Active Duty Officers. For active duty officers currently in command pursuant to orders issued by Commander (CG PSC-OPM) and for active duty officers upon successful completion of command using the criteria in Article 4.A.9.d. of this

Manual.

- (2) Inactive Duty Officers. For inactive duty officers currently in command pursuant to orders issued by the area or district commander; and for inactive duty officers upon successful completion of command using the criteria in Article 4.A.9.d. of this Manual.

4.A.9.d. Successful Completion of Command

The below criteria are considered mandatory for successful command completion. The area or district commander will be guided by them in making his/her determination unless unique circumstances dictate additional criteria are necessary.

- (1) The officer has fulfilled the eligibility requirements in Article 4.A.9.b. of this Manual.
- (2) The officer has not been removed for cause during the tour.
- (3) The officer has not been the subject of any disciplinary action during the tour, or the disciplinary action was a result of a minor, isolated incident which was not indicative of the officer's overall performance in command.

NOTE: The decision NOT to award a command insignia and certificate must be based on documented facts rather than empty generalities or vague impressions. Any such decisions against granting the insignia and certificate must be forwarded in writing to Commander (CG PSC) for appropriate filing.

4.A.9.e. Issue and Procurement

The awarding of this insignia should be made with an appropriate accompanying ceremony. The initial issue of this insignia shall be provided to the officer by the Coast Guard, and shall be procured from authorized sources with unit AFC-30 funds. Subsequent procurements are a responsibility of the officer. A Command Ashore Certificate, Form CG-5257, shall be issued by the district commander upon successful completion of command or when directed by Commander (CG PSC-OPM) or (CG PSC-RPM).

4.A.10 Physicians Assistant/Nurse Practitioners Insignia

4.A.10.a. Eligibility

Regular and Reserve commissioned officers, chief warrant officers and Public Health Service officers serving with the Coast Guard are eligible to wear the Physician Assistant Insignia if they fulfill these conditions:

- (1) Completed an approved physician assistant or nurse practitioner training program.

(2) Successfully passed a certification or re-certification examination.

4.A.10.b. Procedures

Physician Assistants and Nurse Practitioners desiring to wear the Physician Assistant Insignia shall submit a letter request via their chain of command to Commandant (CG-112). The letter should contain the following information:

(1) A notarized copy of a diploma from training school attended and graduation date.

(2) Proof of certification.

4.A.10.c. Authority

Authorization to wear this insignia shall be granted in writing by Commandant (CG-112).

4.A.10.d. Manner of Wearing

As prescribed in reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

4.A.10.e. Issue and Procurement

The awarding of this insignia should be made with an appropriate accompanying ceremony. The initial issue of this insignia shall be provided to the officer by Commandant (CG-112). Subsequent procurements are the responsibility of the officer.

4.B. Qualifications Applicable to all Military Members

4.B.1. Duty Involving Diving

4.B.1.a. Policies

Policies concerning the Coast Guard Diving Program are contained in reference (n), Coast Guard Diving Policies and Procedures Manual, Volume 1, COMDTINST M3150.1 (series).

4.B.1.b. Procedures

Reference (n), Coast Guard Diving Policies and Procedures Manual, Volume 1, COMDTINST M3150.1 (series), sets forth procedures for commanding officers to ensure candidates are fully qualified to attend the Navy Underwater Diving Schools. It promulgates guidelines for establishing and disestablishing diving allowances, updating approved equipment lists, and provides guidelines on application procedures and re-qualifications.

4.B.2. Cutterman Insignia

4.B.2.a. Eligibility Requirements

Eligibility requirements for the officer and enlisted Cutterman Insignia are contained in the Cutter Training and Qualification Manual, COMDTINST M3502.4 (series). Entitlement to wear the Insignia will now represent an individual's desire to pursue a seagoing career, and is based on the successful completion of specific Personnel Qualification Standards (PQS), or unit job Qualification Requirements (JQR) where no fleet PQS exists.

4.B.2.b. Temporary Entitlement

Personnel permanently assigned sea duty may wear the insignia, while so assigned, upon completion of at least six months continuous satisfactory service aboard such cutter and having been certified by their commanding officer. Personnel previously certified may wear the Insignia when reporting aboard for a subsequent tour of sea duty. Upon completion of each tour afloat, the Insignia shall be removed from the uniform except when cumulative total of sea duty exceeds five years.

4.B.2.c. Permanent Entitlement

Multiple assignments at sea, totaling not less than five years of sea service, must be completed before an individual is eligible to wear the Cutterman Insignia.

4.B.2.d. Manner of Wear

The manner of wearing the Cutterman Insignia shall be in accordance with reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

4.B.2.e. Issue and Procurement

The awarding of the 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.

4.B.3. Port Security Unit (PSU) Insignia**4.B.3.a. Eligibility Requirements**

The PSU Insignia was created to recognize the accomplishments of becoming qualified in the area of port security unit operations. The PSU Insignia will be awarded to those who have qualified in the areas of PQS/basic skills courses for PSUs, served as a member of a PSU for a given time, and demonstrated a practical application of those skills in a PSU setting. The PSU Insignia will be issued as a permanent award only.

4.B.3.b. Qualifications

The PSU Insignia qualification is divided into three areas based upon the date of the formal commissioning of the first PSU, 01 May 1995:

- (1) Qualifications for those who served with PSUs and deployed to an in-theater operation prior to 01 May 1995.
 - (a) Graduate of the Camp Blanding PSU course or a member of PSU 310/302/303 and attended the Dessert Shield or Uphold Democracy ramp up training at Camp Perry or the U. S. Marines Combat Skills Course at Quantico, VA; and,
 - (b) Successfully deployed as a member of a PSU during Operation Desert Shield, Desert Storm for a minimum of 30 days, or Operation Uphold Democracy for its duration.
- (2) Qualifications for those who completed PSU Skills training but did not deploy to Desert Shield, Desert Storm or Operation Uphold Democracy; served with a PSU, and participated in two PSU deployment operations prior to 01 May 1995 are:
 - (a) Graduate of the Camp Blanding PSU course or the Dessert Shield ramp up training at Camp Perry in 1990 or the U. S. Marines Combat Skills Course at Quantico, VA; and,

- (b) A member of a PSU for two years prior to 01 May 1995; and,
 - (c) Successfully completed ADT periods for at least two of the listed deployments: Flame River 92, Forward Sentinel 93, Flame River 93, PSU Focus Training 94, Allegiant Sentry 94, Allegiant Sentry 95, Freedom Banner 95.
- (3) Qualifications for those who served with PSUs after 01 May 1995:
- (a) Completion of PSU Basic Skills formal training conducted at either an established school, by a specific port security unit, or by a PSU training team approved by Commandant (G-OPD) (e.g., Phoenix Readiness at Fort Dix, USMC Basic Training at Camp Pendleton or PSU TRADET); and,
 - (b) A minimum two-year assignment to a PSU; and,
 - (c) Completion of all billet assigned PQS unique to the WQSB as outlined in the Operational Logistics Support Plan (OLSP) for Port Security Units (PSU), COMDTINST 4081.8 (series) as well as mandatory all hands PQS training requirements (sections 0. 1, 1. 6, 3. 1, 3.2, 7.1, 7.2) as outlined in the Port Security Unit (PSU) Personnel Qualification Standard (PQS), COMDTINST 1540.11 (series); and,
 - (d) Fully met all overseas deployment qualification standards during the two-year period (Waiverable through Area staff (AOF/POFT)).

4.B.3.c. Applications

- (1) Current PSU Members. Current PSU members requesting award of the insignia will submit a package illustrating their completion of PQS to the unit command to evaluate the member's qualifications for the PSU insignia. If it is determined that a candidate meets all qualifications, the unit CO will award the insignia to the candidate.
- (2) SELRES Members. SELRES members who are not currently assigned to a PSU shall submit their package to their respective command for validation and award of the insignia. COs are authorized to award the PSU Insignia upon presentation of the application package and determination that the award criteria have been met. The application package shall provide evidence of PQS completion and performance (post 01 May 95) or evidence of completion of Camp Blanding PSU Course, Desert Shield Ramp-Up Training at Camp Perry in 1990, or the U. S. Marine Combat Skills Course at Quantico, VA. Members in this category who apply for the insignia will be notified in writing of the results of the review.
- (3) Separated Members or Reserve Members. Persons no longer in the Coast Guard or Coast Guard Reserve who meet the criteria in Article 4.B.3.b. of this Manual may submit completed packages to Commandant (CG-1311), U. S. Coast Guard, 2100

Second Street, S.W., Stop 7801 Washington, DC 20593-7801. Members in this category who apply for the insignia will be notified in writing of the results of the review.

4.B.3.d. Issue and Procurement

The awarding of the 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.

4.B.3.e. Manner of Wear

This insignia shall be worn in accordance with reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

- (1) Seniority of Insignia. The PSU insignia will be the senior insignia of precedence if the member is a current member of a PSU and is authorized to wear another insignia. If the member is authorized to wear two insignia and is not attached to a PSU or a unit authorized to wear the other insignia (e.g., wearing a cutterman's pin and being assigned to a cutter), both insignia can be worn simultaneously. The current or most recently earned insignia will be the senior insignia worn uppermost.
 - (2) Officers Wearing the Enlisted Insignia. Enlisted personnel entitled to wear the PSU insignia, who are subsequently advanced to officer status (including Warrant Officers), may continue to wear the enlisted device until qualifications to wear an officer's device have been met, at which time, the officer's device shall be worn
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4.B.4. Marine Safety Insignia

4.B.4.a. Eligibility Requirements

The Marine Safety specialty is a major contributor to Coast Guard service to the public, and is well represented within all five of the Coast Guard's Strategic Operational Goals. This device represents the personal fulfillment of the professional training and qualifications necessary for a Marine Safety career. It further recognizes a desire to continue in a career path involving Marine Safety field operations.

4.B.4.b. Qualifications

The marine safety insignia is awarded to eligible members as either a permanent or temporary entitlement as described below.

- (1) Permanent Entitlement: Enlisted members (E-4 and above) and Officers of the Coast Guard, Coast Guard Reserve, (including inactive reservists), Coast Guard Civilians,

and Coast Guard Auxiliary members may earn permanent entitlement to the Marine Safety Insignia by completing the criteria listed below.

- (a) Qualification Codes. Attainment of four Marine Safety qualification codes, found in chapter 7.C.2. of reference (o), Marine Safety Manual, Volume I, Administration and Management, COMDTINST M16000.6 (series), through successful completion of the Personnel Qualification Standards (PQS) contained in the training manual for each qualification with the exception of the following qualifications: Liferaft Inspector (LR), Pistol (EP), Rifle (ER), Shotgun (ES), and any local qualifications such as OOD, CDO, or watchstander and;
- (b) Time in Service. Accumulation of not less than five years of service in the Marine Safety program to be served at a Marine Safety operational field unit. With the exception of industry training, duty under instruction does not count towards the minimum required time and;
- (c) Commanding Officer Recommendation. Receive a favorable determination from the Commanding Officer of the unit to which assigned.
- (d) Marine Safety Field Unit. Direct and regular involvement in marine safety operations at the following operational field units are required for Marine Safety Insignia eligibility:
 - [1] Sectors, Activities,
 - [2] Marine Safety Unit,
 - [3] Marine Safety Detachment,
 - [4] National Maritime Center,
 - [5] National Strike Force Coordination Center,
 - [6] National Centers of Expertise,
 - [7] Marine Inspection Detachment,
 - [8] Regional Inspection Office,
 - [9] Detached Duty Inspection Office,
 - [10] Container Inspection Training and Assistance Team,
 - [11] Marine Safety Center, or
 - [12] Strike Team.

Note: Units not listed may submit a written request for determination of eligibility to Commandant (CG-741) via their chain of command.

- (2) Temporary Entitlement: A commanding officer of a Marine Safety operational field unit may authorize temporary wear of the Marine Safety Insignia during the period that the member is permanently assigned to that unit for those personnel who have completed the initial indoctrination level training IAW chapter 7.A.3. of reference (o), Marine Safety Manual, Volume I, Administration and Management, COMDTINST M16000.6 (series), and who have attained the criteria in paragraph 3.A. but have not yet met the time requirements of paragraph 3.B.
- (3) Prior Qualification: Those individuals who served in the Marine Safety field prior to 01OCT84 must meet the four years and four qualification criteria however, for documentation and prior qualifications, the “grandfather” requirements found in chapter 7.D.3. of reference (o), Marine Safety Manual, Volume I, Administration and Management, COMDTINST M16000.6 (series), may be used for permanent or temporary award of the Marine Safety insignia. Personnel who began serving in the Marine Safety field after 01OCT84 must meet the qualification criteria set forth in paragraph 3 for permanent or temporary award of the Marine Safety insignia.

4.B.4.c. Issuing Authority

- (1) Issuing Authority. The issuing authorities for both permanent and temporary Marine Safety Insignia are: Sector and Activity Commanders, Marine Safety Unit, Strike Team, National Centers of Expertise, National Strike Force Coordination Center, Marine Safety Center, National Maritime Center Commanding Officers, and Commandant (CG-741).
- (2) Responsibility. Issuing Authorities will ensure that all requirements have been met before certification and documentation is entered in Direct Access.
- (3) Certificate. In conjunction with the issuance of the Marine Safety insignia, the accompanying certificate shall also be issued and signed by the Issuing Authority.

4.B.4.c. Issue and Procurement

The awarding of the 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.

A Marine Safety Insignia Certificate, Form CG-5686, shall be issued for the permanent insignia and can be ordered from SFLC Baltimore.

4.B.4.d. Manner of Wear

This insignia shall be worn in accordance with reference (m), Uniform Regulations, COMDTINST M1020.6 (series).

CHAPTER 5 OFFICER EVALUATIONS

5.A. Officer Evaluation System

5.A.1. General

This chapter applies to both active duty (ADPL) and reserve (IDPL) officers. Expanded reserve-specific guidance is provided as necessary. Commander (CG PSC) manages the officer evaluations system for all Coast Guard officers with the exception of flag officers who are managed under a separate system. Commander (CG PSC-OPM-3) manages all ADPL officers and Commander (CG PSC-RPM-1) manages all IDPL officers.

5.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, career development, and retention.
- (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.

5.A.1.b. Policy

- (1) Commanding Officer Responsibility. 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, Form CG-5310, strict and conscientious adherence to specific wording of the standards is essential to realizing the purpose of the evaluation system.
- (2) Officer Responsibility. 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.

5.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). Officer Evaluation Report, Form CG-5310, 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), Form 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 OER. All commissioned officers of the Coast Guard are evaluated periodically.
 - (b) Supervisor. Normally, the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.
 - (c) Reporting Officer. Normally the Supervisor's supervisor.
 - (d) Reviewer. Normally the Reporting Officer's supervisor.
- (5) Performance Feedback. No specific form or forum is prescribed for performance feedback. Performance feedback occurs whenever a subordinate receives advice or

observations related to their performance in any evaluation area. Performance feedback can take place formally (e.g., during a conference) or informally (e.g., through on-the-spot comments). Regardless of the forum, each officer should receive timely counseling and be clear about the feedback received. If 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.

5.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 (CG PSC-OPM) and Commander (CG PSC-RPM) for personnel management decisions in a variety of areas.
 - (a) Promotion. Throughout their careers, Coast Guard officers are selected for promotion to the next grade by boards of officers. Except for promotion to the grade of lieutenant (junior grade), more officers are eligible for promotion than are authorized under budget and statutory constraints. The cumulative file of officer performance evaluations provides one of the bases for selection of the best qualified officers from among those eligible.
 - (b) Assignment. Prior performance, personal qualities, and potential for increased responsibilities, as documented in each officer's OER file, are important considerations in decisions made by assignment managers and panels. While a number of other factors such as billet requirements, experience, personal desires, and availability are also considered, the high level of competition for many assignments places even greater emphasis on performance.
 - (c) Career Development. Career development is a cooperative process that seeks to meet immediate and future Coast Guard needs while satisfying the personal and professional aspirations of individual officers. The OES is a vehicle for performance feedback and career counseling by the rating chain and assignment managers.
 - (d) Performance Feedback. Performance feedback is an essential part of every officer's career development. Performance feedback by use of the OSF is the prescribed format for ensigns and lieutenants (junior grade). However, rating chains are strongly encouraged to provide timely performance feedback during and at the end of each reporting period for all officers. Rating chains are strongly encouraged to provide a copy of the completed OERs to Reported-on Officers prior to submission of the OERs to Commander (CG PSC).
- (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.
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5.A.2. Responsibilities

5.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

5.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 logistics/service centers,, 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 unit OER Administrators.
 - (d) Assist and encourage the professional growth and knowledge of assigned officers by publishing the contents of reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards

and Panels, COMDTINST 1401.5 (series)

- (e) Establish procedures that ensure timely submission of reports. Ensure 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 unit 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 (CG PSC-OPM-3) or (CG PSC-RPM-1) 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 (CG PSC-OPM-3) or (CG PSC-RPM-1) 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.).

5.A.2.c. Reported-on Officer

- (1) Designation. The subject of the OES. All Coast Guard commissioned 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. Reserve Reported-on Officers shall verify and submit applicable activity required in Section 2 in accordance with Article 5.A.4.c.(2)(g) of this Manual.
 - (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 (CG PSC-RPM-1) or (CG PSC-OPM-3) directly by written communication (e.g. e-mail) if the original validated OER has not been received 90 days after the end of the reporting period. The correspondence shall include a return address, phone number, period of report, and rating chain names with phone numbers.

- (h) Ensures that all days of commissioned service are covered by OERs. If an OER is missing or a gap in coverage exists, informs the appropriate rating chain. The rating chain shall take necessary action to correct the discrepancy.
 - (i) Ensures that other than Coast Guard rating officials are provided a copy of these instructions, appropriate forms, and other literature provided by Commander (CG PSC-OPM) or (CG PSC-RPM-1).
 - (j) Reviews reference (h), Schedule of Active Duty Promotion List (ADPL) and Inactive Duty Promotion List (IDPL) Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), and reference (j), Performance, Training and Education Manual, 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 Article 5.A.2.c.(2)(b), 5.A.2.c.(2)(e), and 5.A.2.c.(2)(f) of this Manual. In cases of geographic separation, telephone or written exchange of information may suffice.

5.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 Officer Evaluation Report, Form CG-5310.
 - (c) The Supervisor will normally be senior to the Reported-on Officer. However, in appropriate situations, the Supervisor may be designated, regardless of grade

relative to the Reported-on Officer.

- (d) When an officer responds to more than a single individual for different functions, the commanding officer shall appoint one individual to the position of Supervisor (to whom all secondary supervisors will provide evaluation input).
- (e) When a situation exists which requires concurrent reports, dual supervision may also exist. In such instances, different Supervisors may be appointed for each rating chain.

(2) Responsibilities. The Supervisor:

- (a) Evaluates the performance of the Reported-on Officer in the execution of duties.
- (b) Provides direction and guidance to the Reported-on Officer regarding specific duties and responsibilities.
- (c) Discusses at the beginning of the period, upon request, or when deemed necessary, the Reported-on Officer's duties and areas of emphasis. The optional or required OSF worksheet, or other format specified by the Supervisor, may be used as an aid.
- (d) Encourages the use of the optional/required OSF worksheet, or other convenient means, to note important aspects of the Reported-on Officer's performance during the reporting period. Significant events, problems, achievements, failures, or personal qualities should be noted.
- (e) Provides timely performance feedback to the Reported-on Officer upon that officer's request during the period, at the end of each reporting period and at such other times as the Supervisor deems appropriate.
- (f) Counsels the Reported-on Officer at the end of the reporting period if requested, or when deemed appropriate, regarding observed performance. Discusses duties and responsibilities for the subsequent reporting period and makes suggestions for improvement and development.
- (g) Finalizes the optional or required OSF worksheet, if used. (See Articles 5.A.6.d. and 5.A.6.e. of this Manual.)
- (h) Prepares the Supervisor's sections (2-6) of the OER. (See Article 5.A.4.c. of this Manual.)
- (i) Initiates an OER if the Reported-on Officer is unavailable, unable, or unwilling to perform in a timely manner. Forwards the OER, the OSF worksheet (if used or required), OER attachments, and any other relevant performance information to the Reporting Officer not later than 10 days after the end of the reporting period.

- (j) Provides the new Supervisor with a draft of OER sections (2-6) when the Supervisor changes during a reporting period. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation. It shall be prepared and signed by the departing Supervisor prior to departure.

5.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 Officer Evaluation Report, Form CG-5310.
- (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 (CG PSC-OPM-3) or (CG PSC-RPM-1) 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 personnel can be both Supervisor and Reporting Officer for their immediate subordinates:
 - [1] Any officer, LT or above, who serves as a Commanding Officer,
 - [2] Any civilian member of the Senior Executive Service (SES), or
 - [3] Any O-5 or above (includes non-Coast Guard officers provided the officer meets the criteria stipulated in Article 5.A.2.e.(1)(i) of this Manual).
- (f) Only a Coast Guard flag officer or Coast Guard SES may serve as both the Reporting Officer and Reviewer on the same OER.
- (g) Reporting Officers for captains shall be a Coast Guard flag officer or SES. An exception would be those assigned to the Permanent Commission Teaching Staff (PCTS) or outside the Coast Guard whose reporting officer is at least equivalent

to a Coast Guard flag officer or SES (e.g. White House, DHS, other services, etc.).

- (h) The Headquarters program manager having technical responsibility for the unit will be the Reporting Officer for commanding officers of Headquarters units.
- (i) The Reporting Officer for an officer (W2-O5) 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.
- (j) The Reporting Officer of officers under direct supervision of civilian employees outside the Coast Guard but within the (DHS) shall be designated by appropriate DHS directive.
- (k) 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.
- (l) Any exceptions not specifically cited herein must be authorized by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1).

(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. (See Article 5.A.4.c. of this Manual.)
- (c) Ensures the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations. The Reporting Officer shall return a report for correction or reconsideration, if the Supervisor's submission is found inconsistent with actual performance or unsubstantiated by narrative comments. The Reporting Officer shall not direct that an evaluation mark or comment be changed (unless the comment is prohibited under Article 5.A.4.f. of this Manual).
- (d) Forwards the completed OER to the Reviewer; returns the OSF, if used/required to the Reported-on Officer.
- (e) Initiates an OER if the Supervisor does not perform in a timely manner. Ensures the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.

- (f) Provides timely performance feedback to the Reported-on Officer at the end of each reporting period and at such other times as the reporting officer deems appropriate.
- (g) If the Reporting Officer changes and a complete OER is not required per Article 5.A.3.a. of this Manual, then 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.
- (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.

5.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. If Reviewer comments are mandatory under Articles 5.A.2.f.(2)(b). and 5.A.4.d. of this Manual, the Reviewer must be senior to the Reported-on Officer.
- (b) Only Coast Guard commissioned officers, the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11), or Coast Guard SES member, may serve as Reviewer.
- (c) A commanding officer may serve as Reviewer for a Reported-on Officer if that commanding officer is not otherwise in the Reported-on Officer's rating chain. (For any officer at a major command whose position is lower than the department head level, the rating chain should be structured so that the Reviewer is no higher than the commanding officer.) In certain situations (e.g., CO on extended TDY), 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) Only Coast Guard 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 Deputy or Assistant | Vice Commandant |
| Area Commander | Vice Commandant |
| FORCECOM | Vice Commandant |
| 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 (CCG); and Vice Commandant (VCG) (must be a four star admiral) and Commandant (CG-094); the latter may sign as Supervisor, Reporting Officer, and Reviewer for the OER of the Coast Guard’s Chief Trial Judge.
 - (f) The responsible 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 (CG PSC-OPM-3) or (CG PSC-RPM-1) 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.
 - (h) The Coast Guard Judge Advocate General shall be the reviewer for all Reported-on Officers in specialty who perform duties as a military judge during the period of report and for those Reported-on Officers in legal billets without a Judge Advocate in the rating chain as designated by the unit CO (e.g., District Staff Judge Advocates). For Reported-on Officers out of specialty who perform collateral duties as a military judge during the period of report, the Reported-on Officer’s unit CO designates the rating chain. However, the Judge Advocate General shall provide an additional Reviewer Comments, Form CG-5315 (series), to document judiciary performance only. No comparison scale mark shall be completed. For Reported-on Officers out of specialty who do not perform any collateral duties as a military judge during the period of report, the Judge Advocate General will not provide an additional Reviewer Comments, Form CG-5315 (series).
- (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 Reviewer Comments, Form CG-5315 (series), which further addresses 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 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 Reviewer Comments, Form CG-5315 (series), may be used; see Article 5.A.4.d. of this Manual for circumstances when Reviewer comments are mandatory or optional.

- (c) Ensures the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES and meet all submission schedules. The Reviewer shall return an OER to the Reporting Officer to correct errors, omissions, or inconsistencies between the numerical evaluation and written comments. However, the Reviewer shall not direct in what manner an evaluation mark or comment be changed (unless the comment is prohibited under Article 5.A.4.f. of this Manual).
- (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 unit OER Administrator to ensure the OER is received by Commander (CG PSC-OPM-3) or (CG PSC-RPM) 45 days after the end of the reporting period.
- (f) Ensures CWO to O-4 ROOs review and sign OER.
- (g) Ensures an OER returned by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) is forwarded to the responsible Reporting Officer for timely correction.

5.A.2.g. Rating Chain Exceptions

- (1) Designating Substitutes in the Rating Chain. 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 (CG PSC-OPM-3) or (CG PSC-RPM-1) 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) Definitions. 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.

5.A.2.h. OER Administrator

Commander (CG PSC) no longer requires designation of an OER Administrator. Units and their assigned rating chains are responsible for managing the timely submission of OERs to Commander (CG PSC). Units should consider designating a collateral duty unit OER Administrator. (See Article 5.A.4.e. of this Manual.)

5.A.2.i. Commander, Coast Guard Personnel Service Center

- (1) Designation. Commander (CG PSC) has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CG PSC-OPM-3) or (CG PSC-RPM-1). Servicing of an officer’s personnel record is accomplished by Commander (CG PSC-PSD-MR).
- (2) Responsibilities. Reserve Personnel Management Division (CG PSC-RPM-1) or Officer Evaluations Branch (CG PSC-OPM-3):
 - (a) Processes OERs into Direct Access, an automated tracking system and provides rating chain notices of delinquent OER submissions.
 - (b) Ensures all OERs go through a quality review. Corrects OERs containing minor administrative errors or as directed by judicial or administrative adjudications. In special circumstances, Chief (OPM-3) or (RPM-1) may serve as reviewer on an OER.
 - (c) Provides final quality control review of OERs containing substantive errors, including “restricted” remarks as outlined in Article 5.A.4.f. of this Manual. OERs requiring significant correction or redaction will be returned to the appropriate member of the rating chain. However, in certain situations, returning an OER through the rating chain could lead to unacceptable delays and prejudice a Reported-on Officer who is being considered by a board or panel. In order to achieve a balance between accuracy and timeliness, certain corrective measures may be taken to expedite validation of OERs, Reviewer comments, OER Replies, and Addenda.

- (d) Submits validated original OER to Commander (CG PSC-PSD-MR) for insertion into the member's CG PSC Electronically Imaged Personnel Data Record, EI PDR.
 - (e) Develops and implements system changes as necessary to maintain a healthy system.
 - (f) Maintains all applicable instructions and forms and recommends policy governing the OES.
 - (g) Responds to individual and command requests related to OES policy.
 - (h) Provides training on the OES, subject to resource availability.
 - (i) Conducts the required training for civilian employees assigned rating chain responsibilities.
- (3) Responsibilities. Records Branch (CG PSC-PSD-MR):
- (a) Maintains officer records system in accordance with reference (r), Information and Life Cycle Management Manual, COMDTINST M5212.12 (series) and DoD approved retentions.
 - (b) Responds to individual inquiries and requests related to those records, including missing copies of OERs.
 - (c) Returns validated OER to the Reported-on Officer after insertion into the member's CG PSC EI PDR.
-

5.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.

5.A.3.a. Regular OERs

- (1) Annual, Semiannual, and Biennial OERs. Annual or semiannual (Figure 5.A.1) and Biennial (on even numbered years) (Figure 5.A.2) OERs are due 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 EOP is 30 Jun vice 30 July) | July (Annual) |
| Ensign | March and September (In zone/above zone promotion board eligible candidates due to CG PSC 31 Oct. Reporting period remains 30 Sep.) | March (Annual) |
| Chief Warrant Officer (W4) | April | April (Biennial) |
| Chief Warrant Officer (W3) | July | July (Biennial) |
| Chief Warrant Officer (W2) | June | June (Biennial) |

- (a) A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports or 12 months for semiannual reports.
- (b) OERs shall not be delayed for officers above and in zone for promotion as specified by ALCGOFF promulgated by Commander (CG PSC). Reported-on Officers with an approved retirement or voluntary resignation letter on file who do not desire to submit a regular OER must obtain an OER waiver. See Article 5.A.3.b. of this Manual for waiver requirements and Article 5.A.3.a.(5) of this Manual for continuity OER requirements.
- (c) Annual or semiannual OER submission is optional (waivers not required) if:
 - [1] A regular OER (or a special OER that counts for continuity) was submitted within 182 days prior to the scheduled submission date for annual reports or 92 days for semiannual reports.
 - [2] A regular OER will be submitted within 182 days following the scheduled due date for annual reports or 92 days for semiannual reports (e.g. PCS) permitted all other submission requirements are met.
 - [3] Newly commissioned officers who have been observed at their first unit less than 120 days may delay the submission of their regular OER provided the next anticipated date of submission meets the requirements under Article 5.A.3.a.(1)(a). of this Manual.

(d) Reserve biennial or annual OER submission is optional (waivers not required) if:

- [1] A regular OER (or a special or ADOS OER which counts for continuity) was submitted within 182 days prior to the scheduled submission date.
- [2] A regular OER will be submitted within the following 182 days of the scheduled due date. Exception: Those officers above and in zone for promotion as specified by ALCGPSC promulgated by Commander (CG PSC-RPM) shall not delay their biennial or annual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only in accordance with Article 5.A.3.a.(5)(b) of this Manual. For those officers who meet this criteria, a waiver must be obtained as provided in Article 5.A.3.b. of this Manual.
- [3] The Reported-on Officer under PCS orders has been observed at the new unit for less than 182 days. The observations shall be recorded in the next regular OER.

Figure 5.A.1. OER for Annual/Semiannual Submission

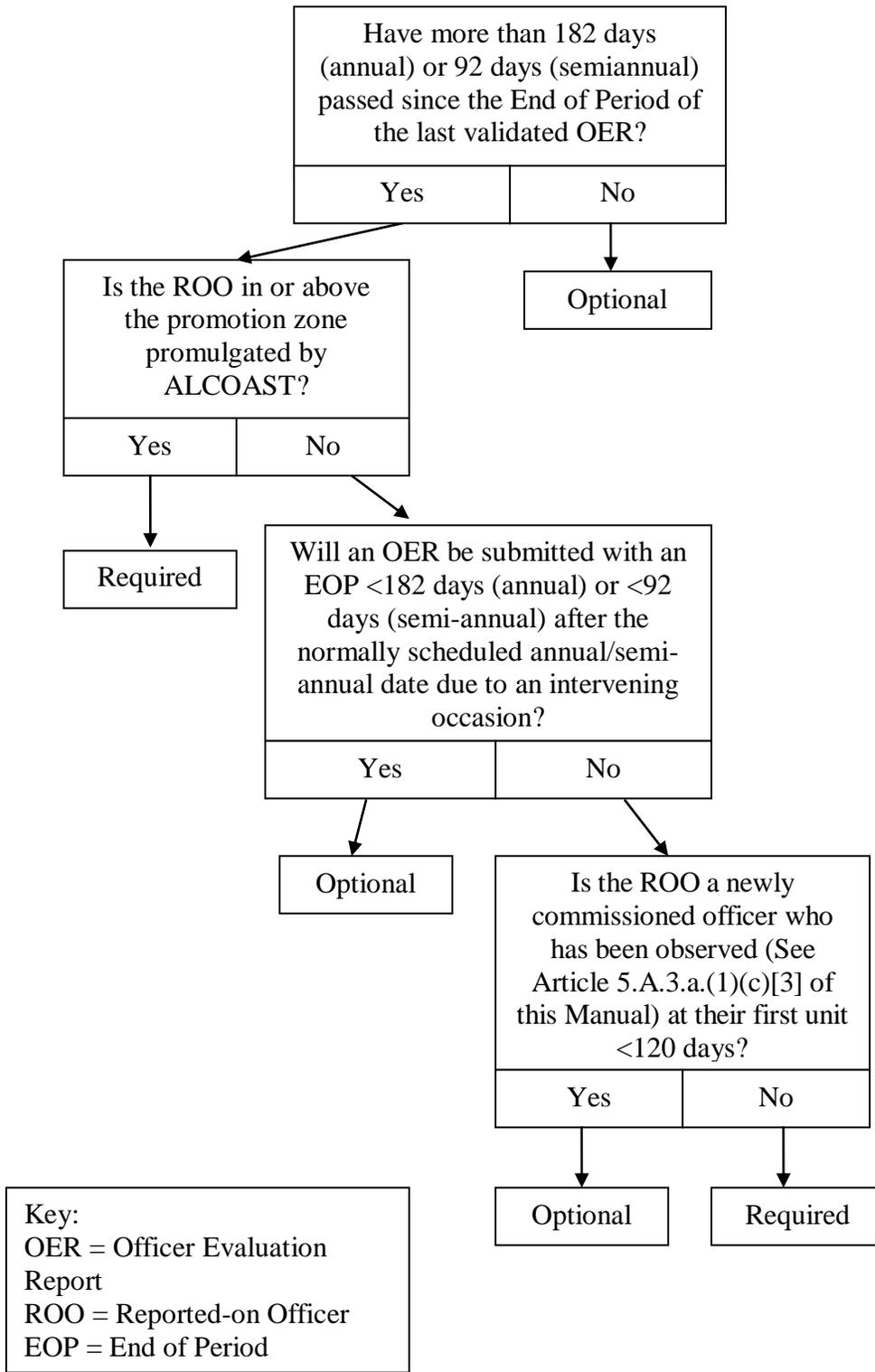
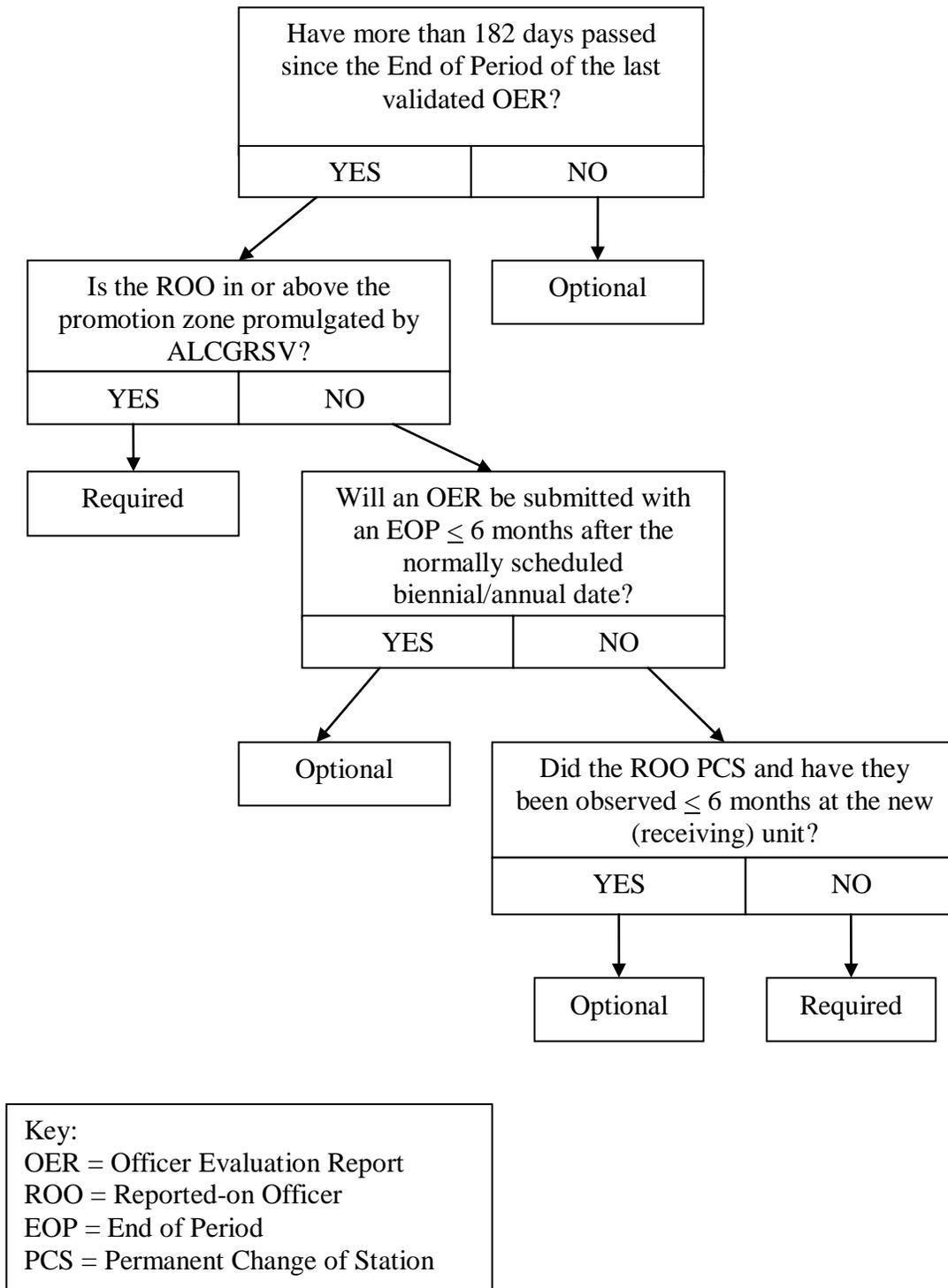


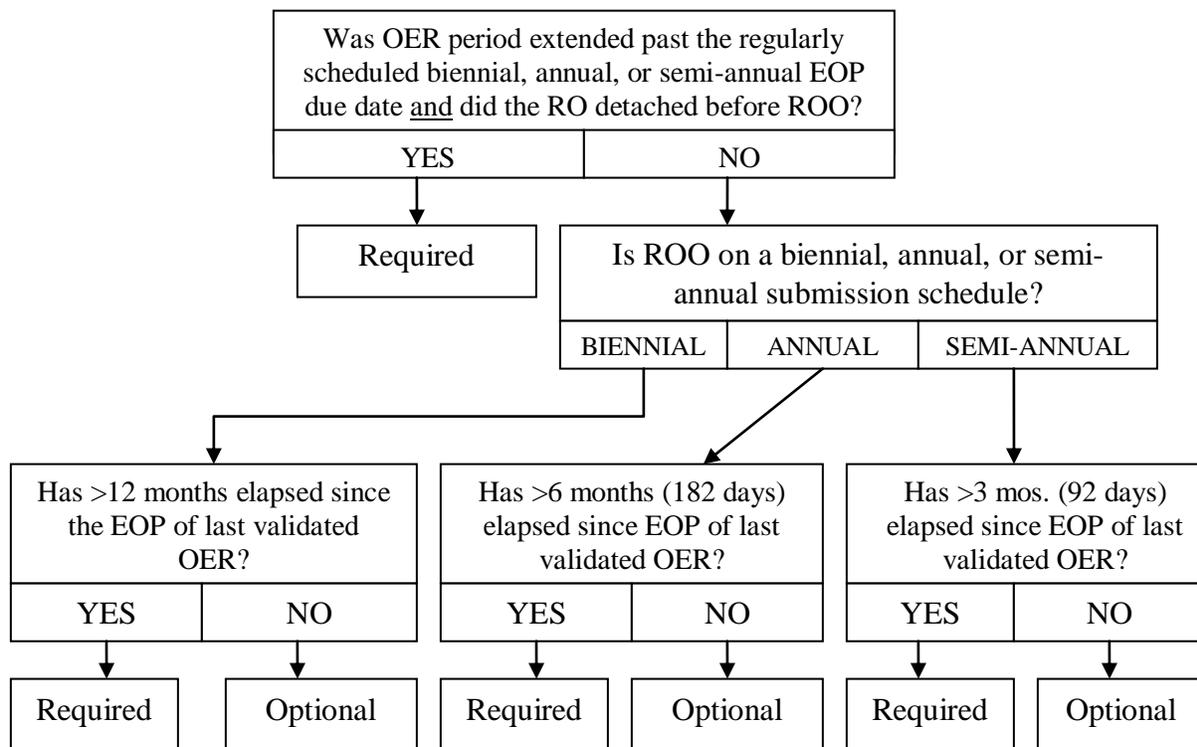
Figure 5.A.2. Reserve OER for Biennial/Annual Submission



(2) Detachment or change of the Reporting Officer (Figure 5.A.3.):

- (a) OERs for officers on a biennial submission schedule are required if more than 12 months have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- (b) OERs for officers on an annual submission schedule are required if more than six months (i.e., 182 days) have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- (c) OERs for officers on a semiannual submission schedule are required if more than three months (i.e., 92 days) have elapsed since the ending date of the last regular OER.
- (d) OER submission is optional in other situations.

Figure 5.A.3. OER for Detachment or Change of Reporting Officer

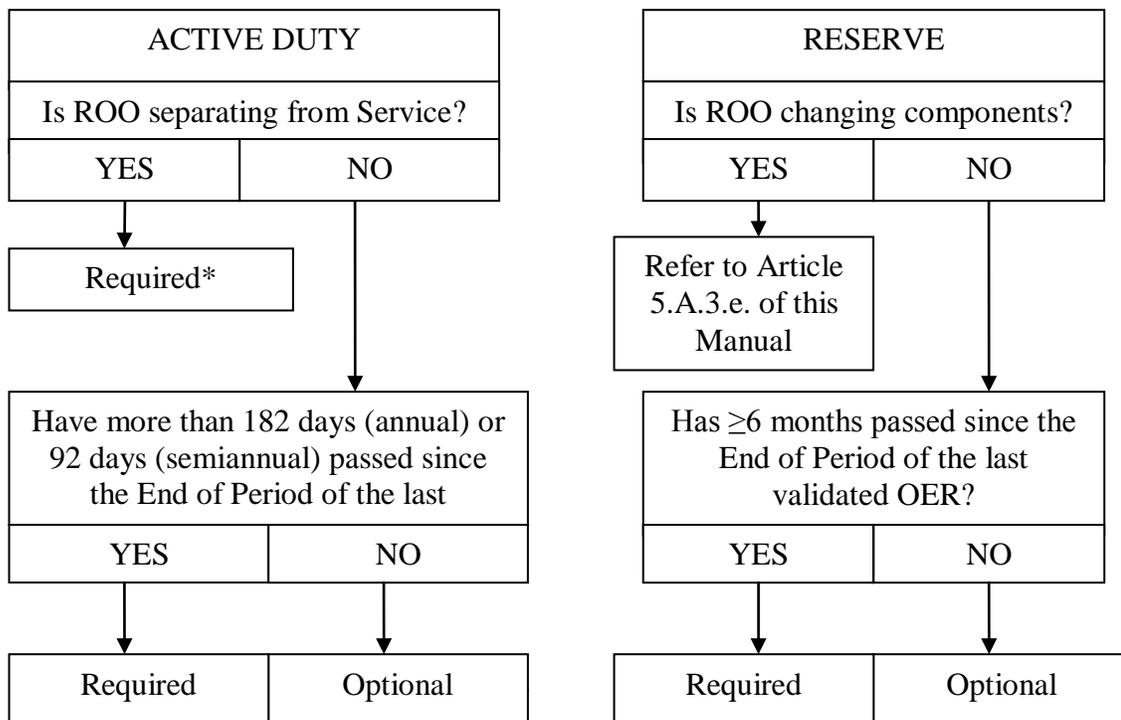


Key:
 RO = Reporting Officer
 ROO = Reported-on Officer
 EOP = End of period

(3) Detachment on PCS orders, or separation from the Service of the Reported-on Officer (Figure 5.A.4.):

- (a) OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or the last 6 months for reserve officers.
- (b) For officers separating from the Service, an OER is mandatory regardless of the length of period for the report. The period of the report shall end on the final day of active service, including days on terminal leave.

Figure 5.A.4. OER for Detachment of Reported-on Officer



Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

(4) Promotion of Officers (Figure 5.A.5.):

- (a) Captains selected for promotion or frocked to flag grade must submit an OER with their last day serving as an O6 as their end of period date. With the concurrence of their rating chain and the Reported-on Officer, a continuity type OER is authorized in accordance with Article 5.A.3.a.(5) of this Manual.
- (b) Promotion OERs are required for promotion to captain and for CWO to LT. However, if an OER was completed within 182 days of the promotion date for regular officers or within 6 months for reserve officers, the Reported-on Officer need not submit a promotion OER or a waiver request.
- (c) Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this submission schedule results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle) or greater than 12 months (semiannual cycle). The Reported-on Officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion. All articles pertaining to submission schedules apply (e.g. RO detachment, PCS).
- (d) Officers promoted under the CWO to LT program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CG PSC-OPM-3) approval.
- (e) Officers who have been frocked (excluding captains serving as flag officers) shall follow the schedule and exceptions described above and in Article 5.A.3. of this Manual for their actual pay grade, not for the grade to which they have been frocked.

Figure 5.A.5. OER for Promotion of Reported-on Officer

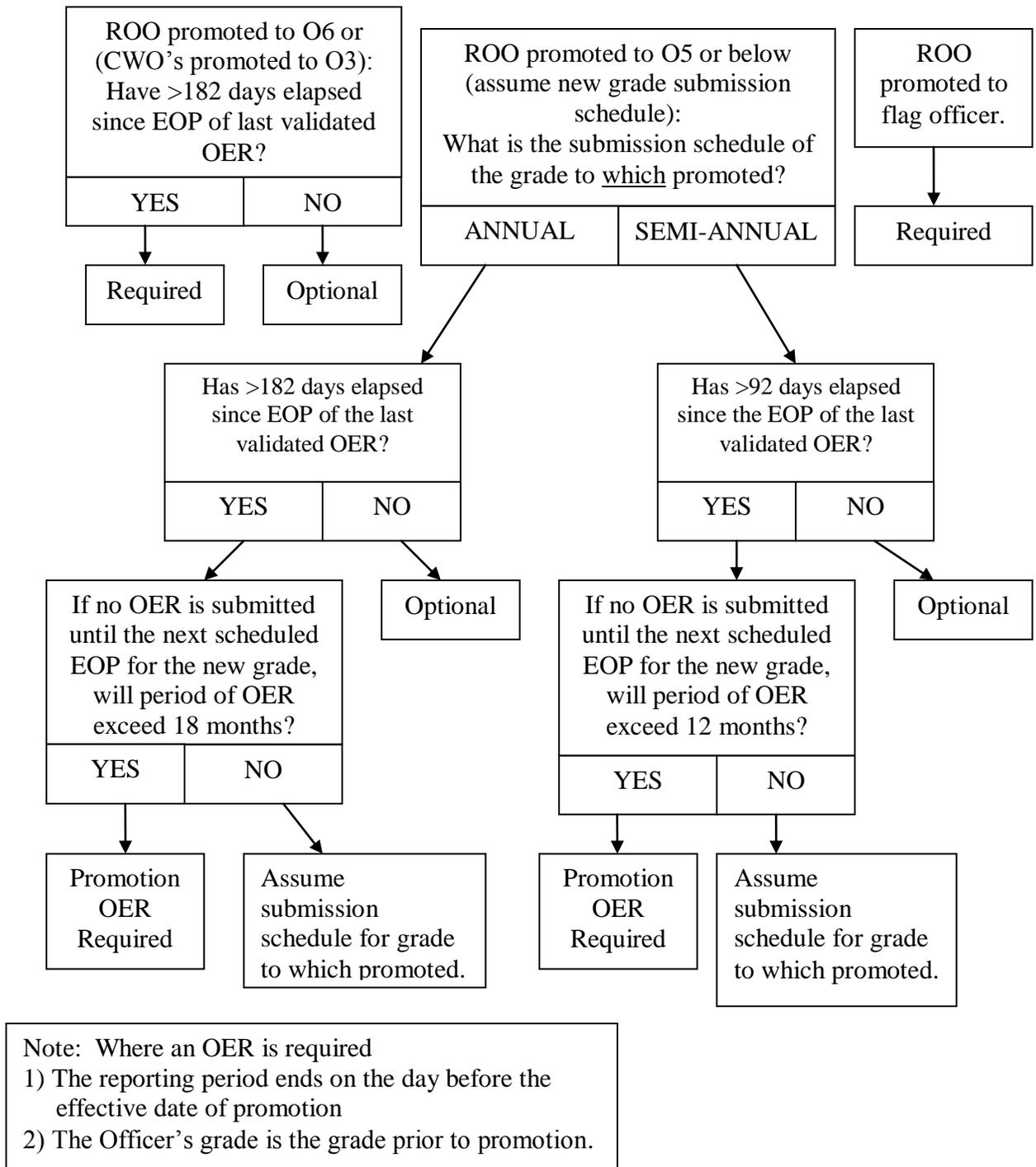
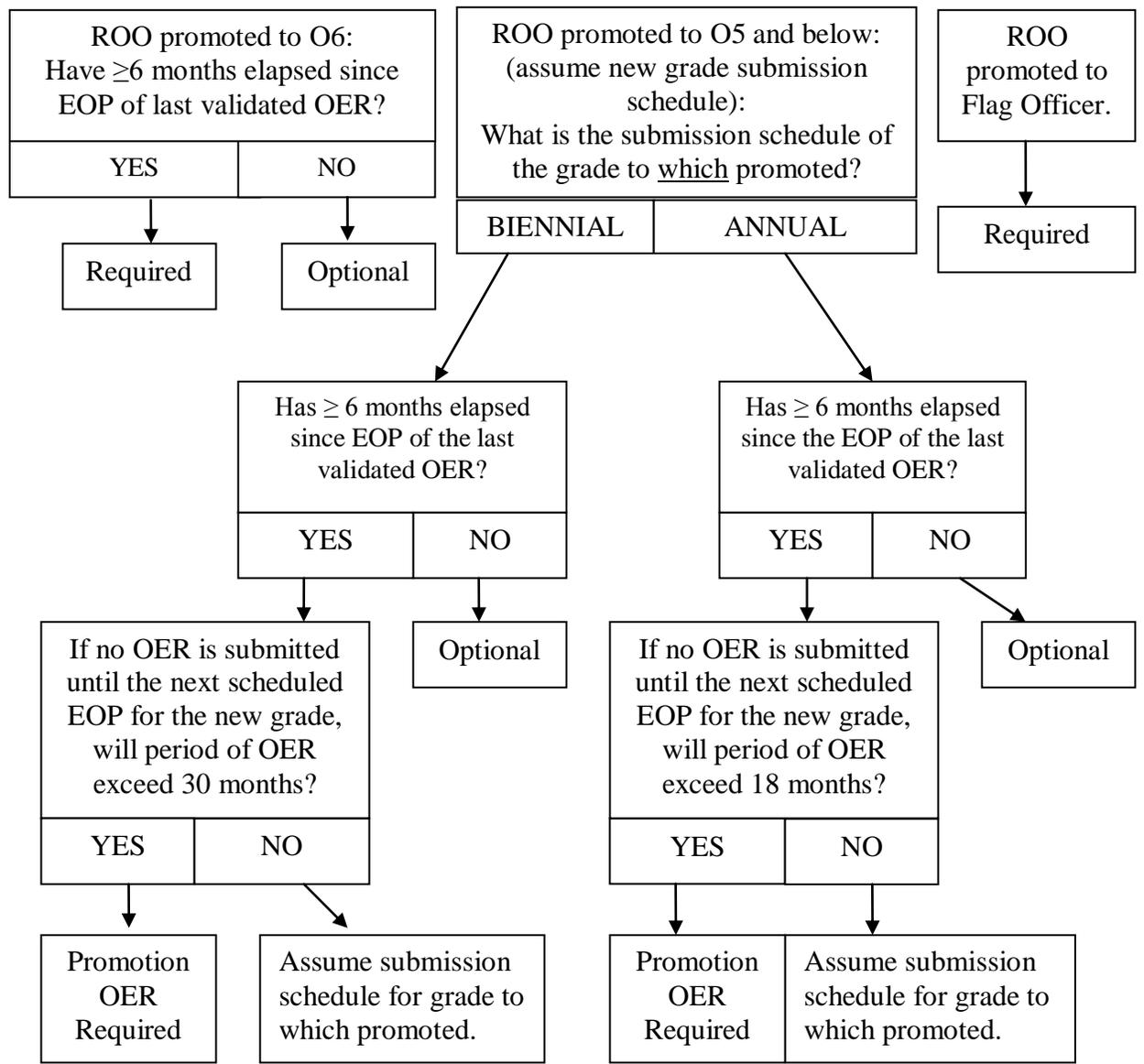


Figure 5.A.6. Reserve OER for Promotion of IDPL Reported-on Officer



Note: Where an OER is required
 1) The reporting period ends on the day before the effective date of promotion
 2) The Officer's grade is the grade prior to promotion.

- (5) Reports for Continuity Purposes. (Figure 5.A.7) (may be referred to as a Continuity OER). Such reports may be submitted in cases where an OER is required by these instructions, but full documentation is impractical, impossible to obtain, or does not meet officer evaluation system goals.
- (a) Reserve Specific. Commander (CG PSC-RPM) shall complete a continuity OER for officers assigned to the Individual Ready Reserve (IRR), or the Standby Reserve (Active Status). The OER shall encompass the entire period the officer was in the IRR. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date.
- [1] Commander (CG PSC-RPM-1) shall complete or delegate the completion of OER Sections 1, 2, 13, and prepare Section 11, "Reporting Officer Authentication," for Commander (CG PSC-RPM-1) signature. Commander (CG PSC-RPM-1) may delegate the Reporting Officer signature authority to competently trained staff. Section 6 (Supervisor Authentication) and Section 12 (Reviewer Authentication) are not used for IRR OERs.
- [2] Section 2, "Description of Duties," should read "Submitted for continuity purposes only in accordance with Article 5.A.3.a.(5)(a) of this Manual. ROO is in IRR." The "Not Observed" circle should be filled for all marks assigned with Section 9 (Comparison Scale) left blank.
- Note: There is no requirement for officers on the Inactive Status List (ISL) to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.
- (b) All Other: A continuity OER may be submitted under the following conditions:
- [1] The reporting period is 92 days or fewer for semiannual submissions or for reserve, is 6 months or fewer and the Supervisor and Reporting Officer have little or no information regarding the Reported-on Officer's performance or qualities, e.g., separating from the service; Article 5.A.3.a.(3)(b) of this Manual.
- [2] An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. If in or above the zone, see Article 5.A.3.b. of this Manual. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.
- [3] An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last

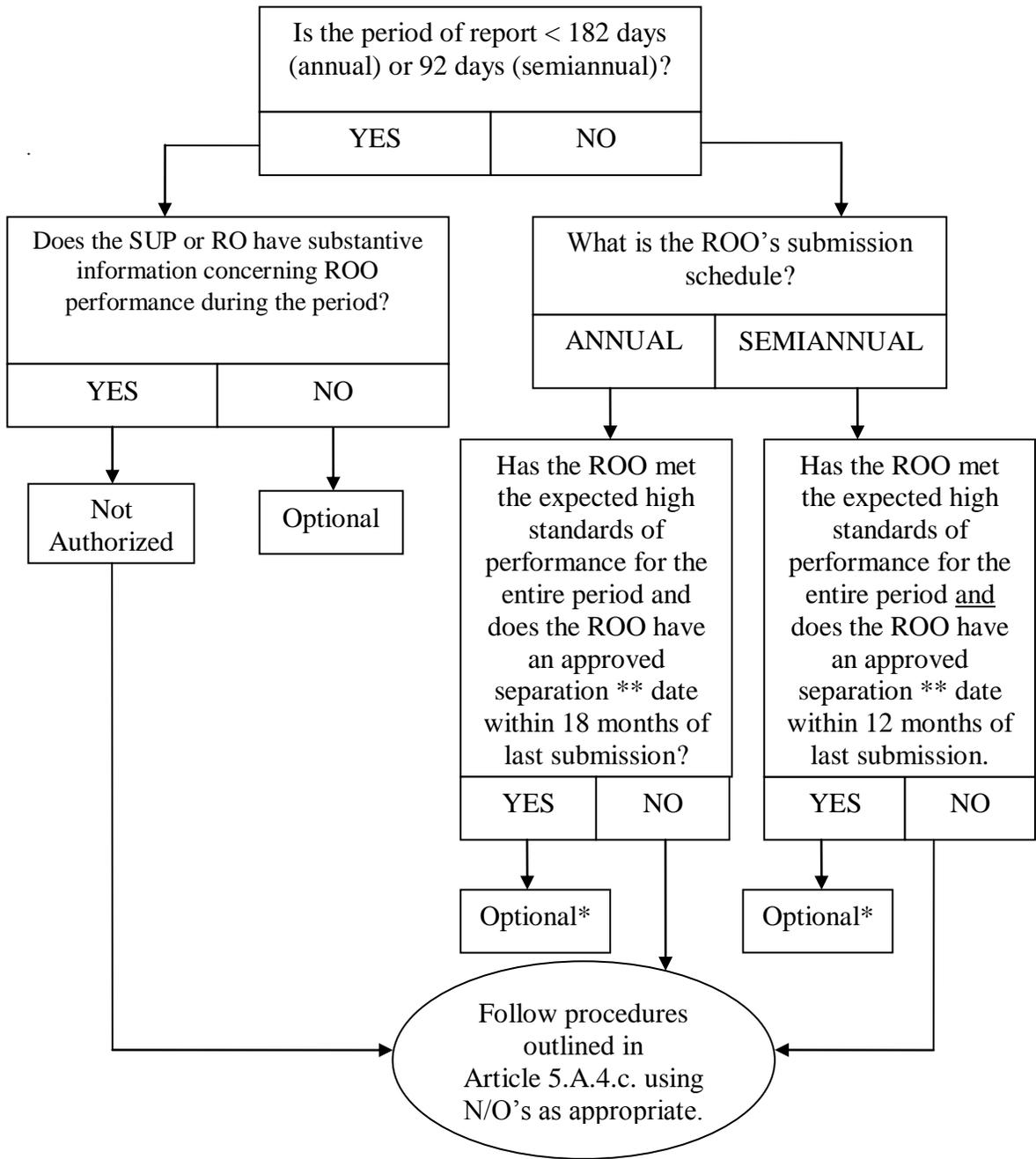
regular OER submission and has met the expected high standard of performance during the period. If in or above zone, see Article 5.A.3.b. of this Manual. Reviewer comments are not required for these reports. Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

- [4] An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.
- [5] Reserve CWO4 Only. Reserve CWO4s who have at least one fully documented OER, validated and in the Headquarters personnel record, at the CWO4 grade and continue to meet the expected high standard of performance may submit continuity OERs thereafter. In addition to procedures outlined in Article 5.A.3.a.(5)(d). of this Manual, Section 2 of the OER shall include the following statements, “OER is submitted under Article 5.A.3.a.(5)(b)[5]. ROO concurs with decision to submit this continuity OER.” Account for IDT Drills, ADT and ADOS days in Section 2 of the OER. Exception: CWO4s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.
- (c) Judicial and Administrative Adjudications. An OER for continuity purposes may be required by Commander (CG PSC-OPM) or (CG PSC-RPM-1) to implement judicial and administrative adjudications.
- (d) Continuity OER Process. When submitting continuity OER, the Reported-on Officer shall complete Sections 1 and 13. The designated Supervisor shall briefly describe the Reported-on Officer’s responsibilities in Section 2 and state the reason the OER is submitted for continuity purposes, e.g., “Submitted IAW Article 5.A.3.a.(5)(b), member separating on 01 July 2010.” All other evaluation areas, including section 9, shall be left blank with “NOT OBSERVED” marked for each dimension.
- (e) Appropriate Use of Continuity Purposes Only OER. In determining whether a “continuity purposes only” OER is appropriate for officers being separated, consideration should be given to the Reported-on-Officer’s opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the Reported-on Officer’s ability to later obtain a reserve commission and compete at future reserve officer selection boards. OERs are an essential tool in personnel management decisions including assignments, therefore all officers are strongly encouraged to consider the impact of submitting continuity OERs. Thus, for officers departing the service for reasons other than retirement, the Supervisor ensures that the Reported-on Officer acknowledges reviewing this paragraph. The Supervisor shall also include the following language in Section 2 of the report: “Officer states that he/ she has reviewed the

provisions of Article 5.A.3.a.(5) of this Manual, and concurs with the decision to submit this ‘continuity purposes only’ OER.” Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the period the OER covers, the procedures of Article 5.A.4.c. of this Manual apply.

- (f) Waivers. Requests for waivers of the time restrictions of this Article should be addressed to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) and are only applicable to retirement, voluntary separations, or discharges per Article 5.A.3.b. of this Manual. These waivers may be appropriate if intervening occasions, e.g., change of Reporting Officer, would otherwise necessitate successive continuity reports.
- (g) Retired Recall Officers. Eligible officers who transition directly to a retired recall status following retirement are required to submit a regular OER rather than an OER for continuity purposes incident to leaving active duty status.

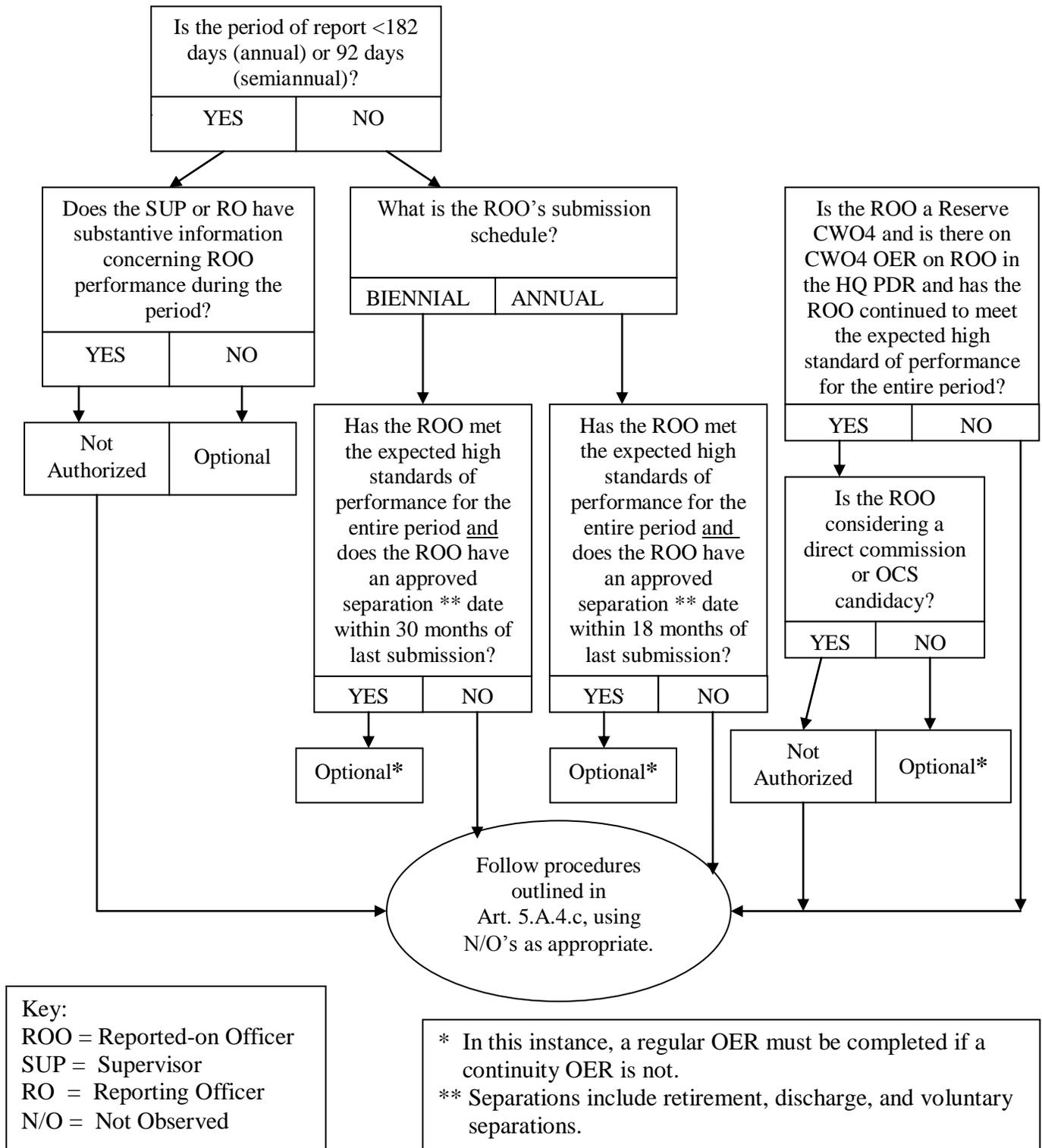
Figure 5.A.7. OER for Continuity Purposes



Key:
 ROO = Reported-on Officer
 SUP = Supervisor
 RO = Reporting Officer

* In this instance, a regular OER must be completed if a continuity OER is not.
 ** Separations include retirement, discharge, and voluntary separations.

Figure 5.A.8. Reserve OER for continuity Purposes



5.A.3.b. OER Waivers

- (1) Waiver Submission. Written requests (email is acceptable) for waivers to the submission schedule, including deadlines for derogatory OER addenda and OER replies, shall be submitted by the Reported-on Officer no later than 45 days prior to the scheduled end of period to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) via the rating chain. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER. Waivers to the normal submission schedule will not be granted without indicating extraordinary circumstances.
- (2) Information to Provide in Waiver Request. The Reported-on Officer should identify his or her EMPLID, phone number, requested period of report, and specific reason(s) for waiver request. If they are in or above zone for promotion, and their intent is to submit a continuity OER upon their retirement or separation, a statement that they understand their record will be incomplete before the board must be included.
- (3) Waiver to Coincide with Retirement or Separation. A waiver shall be obtained from Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) to extend an OER period to coincide with retirement or separation (voluntary resignations and discharges only) beyond an intervening submission occasion (e.g., promotion board, detachment, or change of RO).

5.A.3.c. Exception OERs

- (1) Special OERs. The Commandant, commanding officers, higher authority within the chain of command and Reporting Officers may direct these reports. The circumstances for the Special OER must relate to one of the situations described in subsections a. through e. The authorizing article(s) listed below should be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted under Article 5.A.3.c.(1)(--) due to ..."]. Special OERs present unique preparation problems for members of the rating chain. Therefore, preparers are strongly encouraged to contact Commander (CG PSC-RPM) or (CG PSC-OPM-3) for guidance prior to submitting these exception reports. Special OERs should be completed by the rating chain and received by Commander (CG PSC-OPM) no later than 45 days (if a regular submission) after the end of the period or 45 days after the OER has been initiated per Articles 5.A.3.c.(1)(a) through 5.A.3.c.(1)(e) below.
 - (a) Subsequent to Below Standard Performance. A special OER may be completed to document performance below standard if deferring the report of performance until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection, retention, or reassignment. This report should not normally reflect performance reportable under Article 5.A.3.c.(1)(b) of this Manual. If an individual has been removed from primary duties as a result of conduct or performance which is below standard (other than

relief for cause as prescribed by Article 1.F. of reference (p), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series)), the OER will be derogatory and shall follow Article 5.A.4.h. of this Manual. If an early transfer from unit or a position change is required, a special OER must be submitted before the Reported-on Officer is considered for reassignment. Depending on the circumstances, the OER may count for continuity.

- (b) Subsequent to Disciplinary Action. A special OER is required after an officer is found guilty of a criminal offense and the conduct relates to the Reported-on Officer's performance or any other matter on which an officer may be evaluated, Article 1.B.4.b. of reference (q), Discipline and Conduct, COMDTINST M1600.2 (series). A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a Special OER shall be prepared because the evidence established that the officer was criminally culpable. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved. This OER does not count for continuity.

[1] The reporting period for this special report will be the time frame during which the officer's conduct prompting the report occurred. The report shall clearly state:

- [a] The nature of the proceeding prompting the report and the result of the proceeding, e.g. criminal conviction, non-judicial punishment, or final reviewing authority's action directing a special OER due to criminal culpability,
- [b] Any punishment imposed as a result of criminal conviction or non-judicial punishment, and
- [c] Other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation shall be limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which is not evaluated shall be marked "not observed." A Section 9 comparison or rating scale mark and Section 10 comments on the officer's potential are required.

[2] If the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period, a special report is not required if the process is completed, i.e., not subject to further review, by the time that the regular report is due to be submitted for the current period. The basis for the court-martial, non-judicial punishment, or investigation shall be reported in the regular report.

- (c) For Consideration by Selection Panels or Boards. Special OERs may be submitted for officers being considered by selection panels or selection boards for promotion, extension, or continuation. The period of report must be at least 92 days for a semiannual schedule and 182 days for an annual submission schedule and the OER must arrive at Commander (CG PSC) not later than 45 days before the board/panel convening date. Reported-on Officers (reserve only) who are on a biennial schedule and are in zone for promotion on the IDPL during an odd numbered calendar year shall complete a Special OER for that year to document all performance since the last regular OER for board consideration. These OERs shall not be delayed past the normal submission month (e.g. March for CDRs, April for LCDRs). Extensions will not be granted. This OER counts for continuity.
 - (d) To Document Significant Historical Performance. Special OERs may be submitted to document significant historical performance or behavior of substance and consequence which were unknown when the regular OER was prepared and submitted. This report should not normally reflect performance reportable under Article 5.A.3.c.(1)(b) of this Manual. The OER should address only the performance dimensions relevant to the special OER since all other performance dimensions will have been addressed in the regular OER. The special OER should be initiated by the original rating chain unless they are unavailable or disqualified. Article 5.A.2.g. of this Manual applies. The Reviewer must be a flag officer. This OER does not count for continuity.
 - (e) Miscellaneous. When specifically directed by another article in this manual, e.g., Article 1.F. of reference (p), Military Assignments and Authorized Absences, COMDTINST M1000.8 (series), Relief for Cause/Removal from Primary Duties. This OER may count for continuity, depending upon the circumstances which prompt its submission.
- (2) Concurrent OERs. A concurrent OER is an optional OER submitted at the discretion of the TDY command in addition to a regular or special OER and thus does not count for continuity. A concurrent OER must be for a period of at least 60 days. The unit to which the Reported-on Officer is permanently attached is always responsible for ensuring that continuity is maintained with either regular or special OERs. The permanent unit's OER is never considered a concurrent report. Concurrent reports may be submitted only when the officer is:
- (a) Filling separate or distinct billets or command functions under different commanding officers.
 - (b) Filling a billet for which technical control and administrative control are separated, such as senior contracting officers.
 - (c) Commanding a unit for which operational control and administrative control are separated, e.g., units assigned to International Ice Patrol, Deep Freeze Operations,

etc.

- (d) Commanding a unit with divided operational control.
- (e) Performing temporary duty (TDY) away from a permanent station while being observed by a senior officer other than the regular Reporting Officer, e.g., senior aviator deployed aboard a Coast Guard icebreaker. In this case, the concurrent report normally will be written upon the detachment of the TDY officer and cover only the period of temporary duty.

5.A.3.d. Evaluation of Performance While Recalled to Active Duty from Retired Status

- (1) Background. Because the personnel management goals (promotion, assignment, career development) of the OES don't apply to officers who are recalled to active duty from retired status, there is no mandatory requirement to submit an OER for these officers.
- (2) When Significant Information Exists. Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the retired recall period, a regular OER may be submitted and the procedures outlined in Article 5.A.4.c. of this Manual apply. Such information may be useful for future retired recall decisions regarding the officer. If the decision is made to submit a regular OER for the retired recall period, the following annotation should be made in Section 2 of the OER: "Submitted in accordance with Article 5.A.3.d."
- (3) Implications in the Event a Retired Recall Promotion Board is Convened. If service need requires that a retired recall promotion board be convened, eligible officers who declined to submit an optional OER for a previous retired recall period are not permitted to resurrect that exercised option to retroactively submit OERs for consideration by the board.
- (4) Special OER. If circumstances during the retired recall period warrant, a special OER may be submitted if the criteria of Article 5.A.3.c.(1) of this Manual are met.

5.A.3.e. Reserve Specific OERs

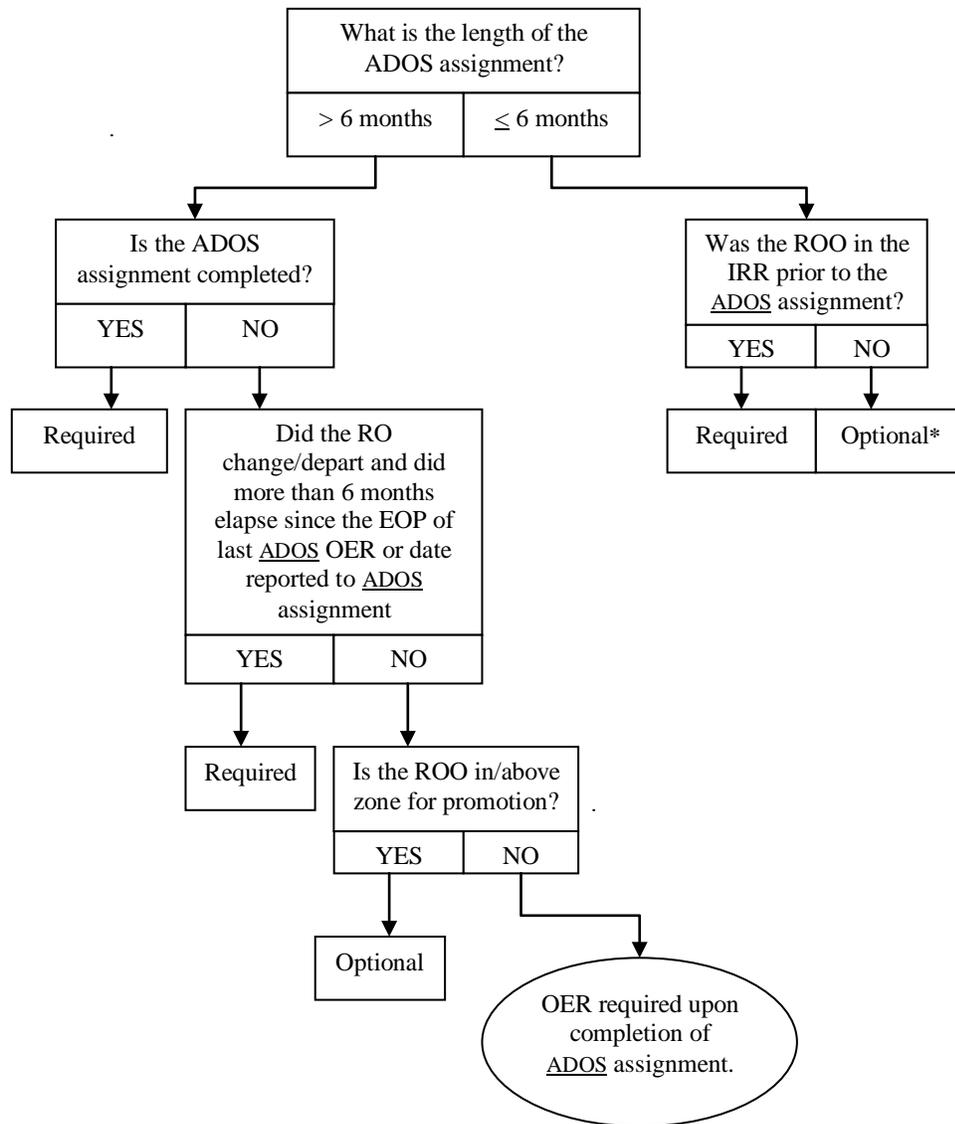
- (1) Active Duty for Operational Support (ADOS): This section describes Reserve-specific OER submission rules for officers who are on ADOS in support of the Active Component (-AC) or Reserve Component (-RC).
 - (a) Short-Term ADOS (Periods of 180 Days or less). If the ADOS is performed at the Reported-on Officer's permanent IDT/ADT unit, the ADOS performance shall be included in the Reported-On Officer's regular IDPL OER(s). If the Reported-on Officer performs the ADOS at a unit other than the permanent IDT/ADT unit and the ADOS is for a period of at least 60 consecutive days, then Article

- 5.A.3.c.(2)(e) of this Manual concerning temporary duty (TDY) applies and a concurrent OER shall be submitted. If the Reported-On Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the ADOS assignment, then in all cases (for short-term ADOS periods of any length), a concurrent OER shall be completed by the ADOS rating chain for the period of ADOS only.
- (b) Long-Term ADOS (Periods of 181 Days or Greater). If the ADOS orders are for 181 days or greater, a Reserve Officer is removed from his or her SELRES (or IRR) assignment for the duration of the active duty and ADPL submission schedules shall apply. If the Reported-on Officer performs the long-term ADOS at a unit other than the previous SELRES/IRR unit (or previous ADOS unit if there is no break in service), then the submission criteria for a PCS transfer shall apply. If the ADOS is performed at the same unit as the Reported-on Officer's previous SELRES/IRR unit (or previous ADOS unit if there is no break in service), the ADOS performance shall be included in the Reported-On Officer's next regular OER(s), as long as there is no change in the description of duties and reporting officer.
- (c) ADOS With Subsequent EAD Contract. Reported-on Officers who are on ADOS assignment and are immediately brought on an Extended Active Duty (EAD) contract in the same assignment may defer submitting an OER until their next regular ADPL OER submission date, as long as there is no break in service and no change in the description of duties and reporting officer.
- (2) Active Duty Due to Mobilization. This section describes Reserve-specific OER submission rules for officers who are involuntarily recalled to active duty in support of a contingency. Involuntary recalled reservists on long-term orders are not removed from their SELRES or IRR assignments as are their counterparts on long-term ADOS.
- (a) Involuntary Recall to AD at Reported-on Officer's SELRES/IRR Unit. If the Reported-on Officer is involuntarily mobilized to perform active duty of any duration at his or her permanent IDT/ADT unit (or previous ADOS unit if there is no break in service), performance of the mobilization duty shall be included in the officer's regular OER(s). If the Reported-on Officer is in the Individual Ready Reserve (IRR) in a non-drilling status prior to reporting to the mobilization assignment, then in all cases (for involuntary recall of any length), a concurrent OER shall be completed by the mobilization unit's rating chain for the period of recall to active duty. ADPL submission schedules begin to apply after six months of continuous active duty; IDPL submission schedules commence again upon demobilization.
- (b) Involuntary Recall to AD at another Unit for Less than 92 Days. If the Reported-On Officer is mobilized to perform active duty for a period of less than 92 days at a unit other than the SELRES/drilling IRR unit, the supervisor and reporting

officer of the mobilization unit is responsible for providing the SELRES/drilling IRR unit with a draft Officer Evaluation Report, Form CG-5310, Sections 1-11. The draft may be handwritten and shall include marks and comments (bullet statements may be used) for the period of observation. The mobilization supervisor and reporting officer shall sign the draft OER (no reviewer authentication is required) and forward it to the SELRES/drilling IRR unit supervisors. A copy of the draft OER may be provided to the Reported-on Officer.

- (c) Involuntary Recall to AD at Another Unit for 92 Days or More. If the Reported-On Officer is involuntarily mobilized to a unit other than the permanent SELRES unit, then OER submission criteria for a PCS transfer shall apply; the permanent SELRES unit shall prepare a PCS departure OER if required, and the mobilization OER counts for continuity, even though the member is not removed from his or her SELRES assignment. ADPL submission schedules apply.

Figure 5.A.9. Reserve OER for Active Duty for Operational Support (ADOS) in Support of the Active Component (AC) or Reserve Component (RC)



Key:
 EOP = End of Period
 IDT = Inactive Duty for Training
 RO = Reporting Officer
 ROO = Reported-On Officer

* In this instance, ADOS performance must be documented in ROO's next IDT OER if an ADOS OER is not completed.

5.A.4. Preparation and Processing of Evaluation Reports

5.A.4.a. General

This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs). Members of the rating chain should prepare reports with care. They should ensure that comments are clear, concise, and accurate.

- (1) The OER is a series of forms (Officer Evaluation Report, Form CG-5310, and Reviewer Comments, Form CG-5315 (series)), used to document Coast Guard officers' performance and potential.
- (2) Forward OERs to arrive at Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 45 days following the end of the reporting period unless otherwise noted under Article 5.A.3.a. of this Manual.
- (3) OER form software will default to the desired font type and size. Commands should not try to adjust the default settings.
- (4) Reports in all capital letters are prohibited. OER pages shall be one sided only; two-sided OERs are prohibited.
- (5) Text enhancements, (e.g., underlining, boldface, all capital letters, font size deviations) are not allowed.
- (6) Assign marks in ink. Line out and initial changed marks in ink. Reprint the OER if more than two marks are changed.
- (7) Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.
- (8) Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.

5.A.4.b. Forms

The following forms shall be used:

| GRADE | FORM | REVIEWER COMMENTS |
|----------------------|----------|-------------------|
| Captain | CG-5310D | CG 5315-D |
| Commander | CG-5310C | CG 5315-C |
| Lieutenant Commander | CG-5310B | CG 5315-B |
| Lieutenant | CG-5310B | CG 5315-B |

| | | |
|-----------------------|----------|-----------|
| Lieutenant (JG) | CG-5310A | CG 5315-A |
| Ensign | CG-5310A | CG 5315-A |
| Chief Warrant Officer | CG-5310A | CG 5315-A |

5.A.4.c. Preparation

(1) Section 1, Administrative Data. The Reported-on Officer shall complete all items in this Section, and Section 13 (Return Address), no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- (a) Name. Last name, first and middle and initials only.
- (b) Reported-On Officer Signature. CWO to LCDR must review and sign (handwritten or electronic signature) in this space after the Reviewer has signed the OER but prior to submitting the OER to Commander (CG PSC). Article 5.A.4.c.(14) of this Manual.
- (c) EMPLID. Ensure correct.
- (d) Grade. Two-character paygrade, e.g., W2, O5, as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- (e) Date of Rank. Date of rank in all numerals, e.g., 2010/01/23, for the rank of the officer associated with the period of report.
- (f) Unit. Identification of the unit to which permanently attached, e.g., Commandant (CG-0946) or USCGC DECISIVE (WMEC-629). For concurrent OERs, use the TDY unit name. For “ADOS ” OERs use the ADOS unit name.
- (g) ATU-OPFAC.
 - [1] Administrative Target Unit (ATU). The two-digit numeric designation of the district, area, or headquarters unit to which administratively assigned, e.g., 01 for First District, 98 for Headquarters, 58 for the Deployable Operations Group.
 - [2] Operating Facility (OPFAC). The five-digit numeric designation of the unit to which permanently attached.
- (h) Days Not Observed. This block is no longer used; leave blank.
- (i) Date Reported. Indicate the actual date of reporting to the unit specified in f. as

shown in Direct Access. Enter date in the same format as Article 5.A.4.c.(1)(e) of this Manual. NOTE: Intra-unit PCS transfers constitute a change in Date Reported Present Unit.

- (j) Period of Report. The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.) ADOS OERs shall include only dates while on ADOS.
 - (k) Occasion for Regular Report. In accordance with Article 5.A.3.a. of this Manual, mark only one box for the occasion which has prompted the OER submission. The occasion is dictated by the end-of-period date in Block 1.j. Leave blank if the report is a Special, Concurrent or ADOS OER.
 - (l) Exception Report. In accordance with Article 5.A.3.c. of this Manual, mark special or concurrent, but not both, if the report is not a regular OER.
 - (m) Date Submitted. The date the Reported-on Officer submits the OER form to the Supervisor. Enter dates in the same format as Article 5.A.4.c.(1)(e) of this Manual.
- (2) Section 2, Description of Duties.
- (a) Provide the officer's primary duty title. This is defined in the unit personnel allowance list (PAL) as shown in Direct Access and is the position indicated on the officer's Permanent change of Station (PCS) orders.
 - (b) The Supervisor shall write a summary of the most important aspects of Reported-on Officer's job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer's job.
 - (c) Discuss all major duties assigned to the Reported-on Officer during reporting period. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not his or her primary Supervisor, the Supervisor should attempt to obtain from the secondary supervisor a description of the Reported-on Officer's duties while working for the secondary supervisor (e.g., TDY for less than 60 days; ADOS for 6 months or less). A concurrent OER should normally be completed for TDY greater than 60 days. An "ADOS" OER should normally be completed for ADOS/Involuntary Mobilization at another unit for greater than 182 days. The primary Supervisor should note these duties, citing the unit and inclusive dates.
 - (d) Describe duties and responsibilities to provide an overall understanding of the job.

Also note conditions peculiar to the assignment. Include number of people supervised, funds controlled, unit operations or organizational relationships as appropriate. Define highly technical terms. Comments must be clear and concise and confined solely to the space allotted on the form.

- (e) Describe the duties and responsibilities for officers with limited opportunity to perform in accordance with Article 5.A.2.b. of this Manual.
 - (f) Continuity, Exception, or Derogatory OERs. In addition to the description of duties and responsibilities, provide a brief reason why the OER was submitted. Exception: those OERs submitted under Article 5.A.3.a.(1)(c) of this Manual.
 - (g) Provide Reserve time if applicable. The following information should be entered (as shown) in Block 2 as the last part of the "Description of Duties": IDT Drills Scheduled/Attended: XX/XX; ADT: XX Days; ADOS: XX Days. Enter number of drills and days even if zero. The drills/days should reflect the number completed within the period of report, NOT the number completed during the anniversary year.
- (3) Section 2, Attachments.

The following subparagraphs address items that may or shall be listed as attachments to an OER:

- (a) Awards are no longer authorized attachments to the OER.
 - (b) Copies of punitive letters of censure and copies of Court Memorandums shall be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed; Articles 5.A.3.c. and 5.A.4.f. of this Manual. A written non-punitive censure or copy thereof may not be referred to or appended to the OER (Article 1.E.4. of reference (q), Discipline and Conduct, COMDTINST M1600.2 (series)). However, the performance which resulted in the non-punitive censure may be discussed in the OER.
- (4) Sections 3, 4, and 5.

- (a) These sections are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:

[1] Performance of Duties

[2] Communication Skills

[3] Leadership Skills

Two or more performance dimensions (rating scales) define each evaluation area.

Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. Supervisors must read each standard carefully. A space for supporting comments follows each set of dimensions.

- (b) For each evaluation area, the Supervisor shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each of the performance dimensions, the Supervisor shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor shall take care to compare the officer's performance and qualities against the standards—not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor selects the appropriate circle on the form.
- (c) Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" blocks or Section 2.
- (d) In the "comments" block following each evaluation area, the Supervisor shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. Supervisor shall draw on his or her observations, those of any secondary supervisors, and other information accumulated during the reporting period.
- (e) Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for below or above standard marks.
- (f) When appropriate, specifically address the officer's acquisition (O1 through O4) and demonstration (all officers) of seamanship or airmanship expertise (expert skill or knowledge). The following factors should be considered: easy application of the rules of the road and Federal Aviation Regulations (FARs); understanding of, and facility with relative motion concepts; good "sea sense" and a feel for the forces acting on ships or aircraft; and the ability to translate environmental inputs and mission requirements into consistently correct control applications and leadership decisions. These are some of the factors which indicate potential for future successful operational assignments including operations officer, executive officer, and command. In short, compare and discuss the officer's critical competency requirements with regard to seamanship or airmanship.

- (g) A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
 - (h) Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 5.A.4.h. of this Manual.
 - (i) All comments shall be confined to the space allotted to the Supervisor. No comments shall be continued from one comment block to another.
- (5) Section 6, Supervisor Authentication.
- (a) Block a. SIGNATURE—The Supervisor’s signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.
 - (b) Block b. GRADE—Two-character military pay grade, or civilian equivalent (e.g., O6, GS12).
 - (c) Block c. EMPLID —Enter Employee ID Number in this block. Non-Coast Guard Supervisor shall leave this block blank.
 - (d) Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Assignments Branch).
 - (e) Block e. DATE—The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals (e.g., 2010/04/25).
 - (f) After signing the OER, the Supervisor gives it to the Reporting Officer, together with the OSF (if used), and any other authorized documentation or information.
- (6) Section 7, Reporting Officer Comments.
- (a) This section provides an opportunity for the Reporting Officer to comment on the Supervisor’s evaluation. Although this section is not mandatory, Reporting Officers are encouraged to cite other information and observations they may have which would confirm or provide another perspective of the Reported-on Officer’s performance and qualities demonstrated during the reporting period. By doing so, the Reporting Officer gives a more complete picture of the Reported-on Officer's capabilities.
 - (b) Section 7 shall not include continuing comments from any other comment block.

(7) Section 8, Personal and Professional Qualities.

- (a) This section measures an officer's personal and professional qualities. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. The standards are not the same for all forms. Reporting Officers must read each standard carefully. A space for supporting comments follows each set of dimensions.
- (b) For this evaluation area, the Reporting Officer shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each performance dimension, the Reporting Officer shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Reporting Officer shall take care to compare the officer's performance and qualities against the standards - not to other officers and not to the same officer in a previous reporting period. After determining which standard best describes the Reported-on Officer's performance and qualities during the marking period, the Reporting Officer selects the appropriate circle on the form in ink.
- (c) Where the Reporting Officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" block.
- (d) In the "comments" block following this evaluation area, the Reporting Officer shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Reporting Officer shall draw on his or her own observations, information provided by the Supervisor, and other information accumulated during the reporting period.
- (e) Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Well-written comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for marks.
- (f) A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.
- (g) Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with Article 5.A.4.h. of this Manual.

- (h) All comments shall be confined to the space allotted to the Reporting Officer. No comments shall be continued from one comment block to another.

(8) Section 9, Comparison and Rating Scales.

- (a) Comparison Scale (W2 to O2 and O3 to O4, and O5 forms). The Reporting Officer shall fill in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.
- (b) Promotion Scale (O5 form). In addition to the comparison scale, the Reporting Officer is required to fill in one Promotion Scale mark. For the Promotion Scale, the Reporting Officer must select "Recently promoted to O5" or "Already selected to O6", if either one applies. The Reporting Officer is required to provide the Reviewer with a copy of their most recent rating scale history. Non Coast Guard Reporting Officers are not required to provide a rating scale history. The rating scale history is found in Direct Access as follows: HOME> SELF SERVICE> EMPLOYEE>VIEW>OFF COMPARISON SCALE SUMMARY.
- (c) Rating Scale (O6 form). The Reporting Officer shall fill in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.
- (d) Reporting Officer's Comments. No specific comments are required to support the Reporting Officer's judgment in this section. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade. A mark of "unsatisfactory" requires compliance with Article 5.A.4.h. of this Manual.
- (e) Insufficient Opportunity to Make Judgment. No mark need be entered if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 10.

(9) Section 10, Potential.

- (a) Requirement. The Reporting Officer shall comment on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard. These comments shall be limited to performance or conduct demonstrated during the reporting period.
- (b) Content of Comments. Comments in this section reflect the judgment of the

Reporting Officer and may include, but are not limited to, the following:

[1] Qualification to assume the duties of the next grade.

[2] Specialties or types of assignment, such as command, for which the Reported-on Officer is qualified or shows aptitude.

[3] Recommendations for selection to a senior service school.

[4] Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.

(c) Length of Comments. Comments shall be confined to the allotted space on the form.

(10) Section 11, Reporting Officer Authentication.

(a) Block a., Signature. The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed name must accompany the signature, regardless if a hand or digital signature is used. Include Service abbreviation if other than Coast Guard.

(b) Block b., Grade. Two-character military pay grade, or civilian equivalent (e.g., O6, GS14).

(c) Block c. EMPLID. Enter Employee ID Number. Non-Coast Guard Reporting Officer shall leave this blank.

(d) Block d. Title of Position. Examples include Chief, Administration Division; Commanding Officer; Chief, Officer Management Branch.

(e) Block e., Date. The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-the-period is prohibited. Enter date using a numeric format (e.g., 2010/11/22).

(11) Section 12, Reviewer Authentication.

(a) Comments. When adding comments, the Reviewer checks the "Comments Attached" box in Block a. If block 12.a is checked, refer to Article 5.A.4.d. of this Manual.

(b) Block b., Signature. The Reviewer's signature verifies that the OER has been completed properly and in accordance with these instructions. A typed name must accompany the signature, regardless if a hand or digital signature is used.

- (c) Block c., Grade. Two-character military pay grade or civilian equivalent (e.g., O6, SES 1).
 - (d) Block d. EMPLID. Enter Employee ID Number.
 - (e) Block e. Title of Position. Examples include Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division.
 - (f) Block f., Date. The date the Reviewer completed the review and forwarded the OER to the unit collateral duty OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is prohibited. Enter date using a numeric format (e.g., 2010/11/22).
 - (g) W2 – O4. For W2-O4, the Reviewer shall provide the Reported-on Officer the opportunity to review and sign the OER prior to forwarding the completed report, together with any authorized attachments, to Commander (CG PSC). Refer to Article 5.A.4.c.(14) of this Manual for exceptions to this requirement.
- (12) Section 13, Return Address. The Reported-on Officer provides an address to which the official copy of the OER will be returned when the original is filed in the officer's record. Use of this page is mandatory for return address purposes; however, the checklist is optional. If Reported-on Officer is in the process of a PCS move, the new home address may be used or the address of a relative/friend.
- (13) Section 14, Unit Administrator Review. Use of this block is optional.
- (14) Signatures. OERs require signature by the rating chain.
- (a) Digital Signature. Rating chains with Common Access Card (CAC) capabilities may digitally sign each signature block on the OER form. The use of digital signatures is not mandatory. Rating chains may still complete the form, print and handwrite signatures.
 - (b) W2 – O4. Reported-On Officers (ROO) in the grade of W2 through O4 are required to review and sign their OER in Section 1.b prior to submission to Commander (CG PSC). The ROO signature indicates the ROO has reviewed the completed OER, to include ensuring accuracy of the information in block 1. It does not mean the ROO agrees or disagrees with the content of the OER.
 - (c) ROO Review and Signature. ROO OER review and signature occurs after the Reviewer has signed the OER. Once the ROO signs the OER (either digitally or handwritten), the rating chain forwards the OER to CG PSC
 - (d) ROO Signature Not Required. Only in extraordinary circumstances will the ROO signature not be required. Examples include but are not limited to; medical disability of the ROO, incarceration or discharge of the ROO, etc. In these

circumstances where the ROO cannot review the OER, the Reviewer shall check the block in section 12.a of the OER and complete the Reviewer Comments, Form CG 5315 (series) with an explanation of why the ROO could not review the OER. The comparison scale shall not be completed. Transfer of a ROO is not an extraordinary circumstance.

- (e) Circumstances when ROO Cannot Review the OER. In cases where Reviewer comments and comparison scale are mandatory (see Article 5.A.2.f.(2)(b) and 5.A.4.d.(2) of this Manual) and extraordinary circumstances prevent the ROO from reviewing the OER, the Reviewer shall complete the Reviewer Comment, Form CG 5315 (series), and provide required comments and an explanation of why the ROO was unable to review the OER.
- (f) Duty Under Instruction and Continuity OER. Duty Under Instruction (DUINS) and Continuity OERs (OERs with all marks of not observed) do not require the ROO review and signature. Exceptions. Exception of CWO4 Continuity OERs submitted in accordance with Article 5.A.3.a.(5)(b)[5] of this Manual, shall be signed by the ROO.

5.A.4.d. Format for Reviewer Comments

- (1) General. Reviewers desiring to attach comments to the OER shall restrict their comments to a maximum of one page of Reviewer Comments, Form CG-5315 (series), or one single-spaced page (8½” x 11”) typed on one side with no enclosures. The comparison scale is not to be completed unless the Reviewer comments are mandatory Article 5.A.2.f.(2)(b) of this Manual.
- (2) Format on Reviewer Comment, Form CG-5315 (series).
 - (a) Mandatory. Comments and a comparison/rating scale mark are mandatory if block 9 is required on the Reviewer Comment, Form CG-5310, and the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as Director of Health and Safety, Commandant (CG-11); Article 5.A.2.f.(2)(b) of this Manual.
 - (b) Optional.
 - [1] The Reviewer may comment on the Reported-on Officer’s performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or further explained.
 - [2] The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions.

- (c) Additionally, the Reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer's potential.
- (3) Format of Comments When Reviewer Comments, Form CG-5315 (series), Not Used. Reviewer comments shall be formatted as follows:
 - (a) Name/Rank/EMPLID of Reported-On Officer.
 - (b) Period of Report.
 - (c) Reviewer Comments:
 - (d) Add comparison or rating scale if required by Article 5.A.2.f. of this Manual.
 - (e) Following the last line of comments the Reviewer shall sign as below:

Signature/Date
Name: Rank: (typed)
Reviewer
- (4) Location of Reviewer Comments. Reviewer comments should be affixed to the back of the OER.

5.A.4.e. Unit OER Administration

- (1) Responsibility. The commanding officer is responsible for unit level OES Administration as outlined in Article 5.A.2.b. of this Manual.
- (2) Review and Validation. Completed OERs shall be forwarded to Commander (CG PSC) for review and validation processing.
- (3) Submission Criteria.
 - (a) U. S. Mail. Send the original OER and authorized attachments directly to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 45 days after the end of the reporting period; Article 5.A.2.f.(2)(e) of this Manual.
 - (b) Facsimile. The scanned OER must include all pages and legible rating chain signatures
 - (c) Email. The scanned OER must include all pages and legible rating chain signatures. Scan resolution must be set to at least 300 dpi. Color or black and white is acceptable. An email with attached OERs should not exceed 10MB. Do not mix ADPL and IDPL OERs together.

(4) Procedures. Procedures for submitting OERs are as follows:

- (a) Electronic Submissions. Electronic submissions directly to Commander (CG PSC) shall be PDF files containing all authorized attachments.
- (b) Active Duty Promotion List (ADPL). The email address is ARL-PF-CGPSC-OPMOER@USCG.MIL.
- (c) Inactive Duty Promotion List (IDPL). The email address is ARL-PF-CGPSC-RPMOER@USCG.MIL.
- (d) Subject Line. The subject line should include the Reported on Officer's last name, first/middle initial and rank. If the ROO is a candidate for an upcoming board or panel include the term Panel or Board in the subject line. For emails with multiple OERS use only the unit name. Attached files should be named as stated above with ROO name/rank.
- (e) Required Comments. At the bottom of the email include the following verbiage: "This message contains personally identifiable information and shall only be forwarded to personnel who are authorized and have the need to see it. If you feel that you have received this information in error, notify the originator so appropriate action may be taken. Do not reply to all."
- (f) Commander (CG PSC) Action. Commander (CG PSC) will enter OER data into Direct Access upon receipt. Rating chains/unit administrators are encouraged to track OER receipt via the Coast Guard Business Intelligence (CGBI) system, and notify Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) if CGBI does not reflect receipt within 5 business days. Reported-on Officers maintain overall responsibility for ensuring their OER has been processed per Article 5.A.2.c. of this Manual. Reported-on Officers should contact Commander (CG PSC-PSD-MR) if they have not received the validated OER within 120 days after the end-of-period of the OER.

5.A.4.f. Restrictions

Members of the rating chain shall not:

- (1) Mention the officer's conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, PRRB, CG BCMR, or any other investigation (including discrimination investigations) except as provided in Article 5.A.3.c. of this Manual. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under Article 5.A.4.g. of this Manual. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to

the proceeding itself.

- (2) Consider or evaluate the performance of any officer as a member of a court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by reference (d), Manual for Courts-Martial, M.C.M., 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels' advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. However, in commenting on such performance, whether favorable or unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).
- (3) Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel (e.g., references to non-voluntary retirement or separation).
- (4) Mention any PRRB or BCMR application or decision.
- (5) Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. The mention of NFFD status is prohibited.
- (6) Mention pregnancy. Restriction applies to Reported-on Officer and family members.
- (7) Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.
- (8) Place emphasis upon a third party by gender, religion, color, race, or ethnic background (e.g., Catholic lay minister wrote award recommendation for African-American civilian). Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.
- (9) Refer to the Reported-on Officer by first name in the comment blocks.
- (10) Refer to Reported-on Officer's marital or family status.
- (11) Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period except as provided in Article 5.A.3.c. of this Manual.
- (12) Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.

- (13) Reserve Reported-on Officer OERs shall not comment on non-Coast Guard employment, including ROO's who are also employed as civilians in the Coast Guard.

5.A.4.g. Reported-on Officer Reply

- (1) Replies. The Reported-on Officer may reply to any OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official.
- (2) Content of Replies. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in Article 5.A.4.f. of this Manual apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
- (3) Submission of Replies. Reported-on Officer replies must be submitted to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) via the original rating chain. If the whereabouts of the original rating chain members are unknown, submit the original and one copy directly to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) who will forward the reply to the Supervisor, Reporting Officer, and Reviewer.
- (4) Timeline for Submission of Replies to Supervisor. Replies must be submitted to the Supervisor within 21 days from receipt of the original, validated OER from Commander (CG PSC-OPM-3) or (CG PSC-RPM-1). Replies based upon receipt of local copies will not be accepted.
- (5) Timeline for Submission of Reply to Commander (CG PSC). The OER Reply should be processed by the rating chain to arrive at Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) not later than 30 days after the date the Reply was submitted to the Supervisor.
- (6) Quality Review. Commander (CG PSC) shall conduct a quality review of replies to ensure compliance with policy and upon validation will append to the applicable OER.
- (7) Timeline for Receipt of Validated OER. The Reported-on Officer shall inform Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) directly by written communication (E-mail is acceptable) if the, validated OER Reply has not been received 60 days from the date the Reply was submitted to the Supervisor.
- (8) Corrections. Reported-on Officer replies do not constitute a request to correct a record. An officer who believes his or her OER contains a major administrative or substantive error should follow the procedures to correct military records as outlined in Article 5.B. of this Manual. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review

of a Reported-on Officer's reply, concur with the Reported-on Officer that an error may be present in the OER, shall return the reply to the Reported-on Officer and assist that officer in following the procedures of Article 5.B. of this Manual.

(9) Format of Replies.

Date: (Submitted to Supervisor)

Signature

From: (RANK, NAME, USCG/USCGR)

To: Commander (CG PSC-OPM-3) or (CG PSC-RPM-1)

Thru: (1) (Original Supervisor by name)
(2) (Original Reporting Officer by name)
(3) (Original Reviewer by name)

Subj: OER REPLY

Ref: (a) Officer Accessions, Evaluations, and Promotions, COMDTINST M1000.3 (series)

1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period (Year/Month/Day) to (Year/Month/Day).

#

- (10) Reported-on Officers shall limit their replies to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the reply shall limit that response to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond to the reply, he or she shall initial and date in the thru block of the Reply, and forward through the rating chain.
- (11) Any rating chain member who, upon reviewing a Reported-on Officer's reply, finds reason to concur that an error of fact may be present in the OER shall comment in their response and assist the officer in following the records correction procedures in Article 5.B. of this Manual.

5.A.4.h. Derogatory Reports

- (1) Definition. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of assigned duties. Section 2 of the OER shall clearly state "Per Article 5.A.4.h., this OER is a derogatory report." Rating chains are strongly encouraged to contact Commander (CG PSC-OPM-3) or (CG PSC-RPM-1) for guidance in derogatory OER preparations. Derogatory OERs should be

completed by the rating chain and received by Commander (CG PSC) no later than 45 days after the OER was initiated by the rating chain. Derogatory reports are only those OERs which:

- (a) Contain a numerical mark of one in any performance dimension, and/or
- (b) Contain an “unsatisfactory” mark by the Reporting Officer in section 9, and/or
- (c) Documents conduct or performance which is adverse or below standard and results in the removal of a member from his or her primary duty or position.

(2) Processing. Derogatory OERs are processed as follows:

- (a) The Reporting Officer shall provide a copy (authenticated through Section 11) to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer is not required to prepare an addendum. The Reported-on Officer’s addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from an official request for correction of the record under Article 5.B. of this Manual or submitting an OER Reply under Article 5.A.4.g. of this Manual.
- (b) After completing the addendum, the Reported-on-Officer shall forward the OER along with the addendum to the Reporting Officer. The Supervisor and the Reporting Officer shall be afforded the opportunity to address the Reported-on Officer’s addendum. In all cases, the rating officials shall each endorse the addendum by signature. The Reporting Officer will then forward the OER and attachments to the Reviewer.
- (c) If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: “I am aware of the contents of the performance report and decline comment.” An addendum by the Reported-on Officer must be made within 14 days of receipt of the OER unless an extension is specifically requested from Commander (CG PSC-RPM-1) or (CG PSC-OPM-3). If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Attachment specifically stating that an addendum was solicited but not received.
- (d) The Reviewer shall ensure that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, he or she shall return the report to the Reporting Officer for additional information and/or clarifying comments. Substantive changes to the OER require its return to the Reported-on Officer to provide another 14-day

opportunity for the Reported-on Officer to revise the addendum.

- (e) Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer shall limit the addendum to a maximum of two single-spaced pages (8½” x 11”) typed on one side with no enclosures. Rating chain members, addressing the Reported-on officer’s addendum, shall each limit their comments to a maximum of one single-spaced page (8½” x 11”) typed on one side with no enclosures.

5.A.4.i. Format for Addendum

- (1) Reported-on Officers and members of the rating chain shall each identify their attachments in the format below:

- (a) NAME/RANK/EMPLID OF REPORTED-ON OFFICER.
- (b) PERIOD OF REPORT.
- (c) REPORTED-ON OFFICER/SUPERVISOR/REPORTING OFFICER/REVIEWER COMMENTS:

- (d) Following the last line of comments the rating chain shall sign as below:

Signature/Date
Name: Rank: (typed)
Rating chain designation

- (2) The addendum and enclosures (if any) should be stapled to the back of the OER before submission to Commander (CG PSC).

5.A.4.j. Review of OERs at Coast Guard Personnel Service Center

- (1) Responsible Offices. OERs sent to Commander (CG PSC) are received by Commander (CG PSC-RPM-1), Reserve Personnel Management Division or Commander (CG PSC-OPM-3), Officer Evaluations Branch.
- (2) Commander (CG PSC) Review. Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) reviews OERs for administrative and substantive errors. Particular attention is given to inconsistencies between the numerical evaluations and written comments. The review is not intended to question a rating official’s judgment about a subordinate’s performance, but to ensure OERs have been prepared in accordance with OES guidelines.
- (3) Unacceptable Reports. Reports found unacceptable are returned to the original rating chain member identifying areas for correction. When corrected by the appropriate member(s) of the rating chain, OERs are returned to Commander (CG PSC-RPM-1)

or (CG PSC-OPM-3) via the rating chain within 30 days.

- (4) Commander (CG PSC) Actions. After an OER has been validated, Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) will forward the OER to Commander (CG PSC-PSD-MR) for insertion into the member's EI PDR. The copy of the OER will be forwarded to the Reported-on Officer.

5.A.4.k. Correction of OERs

- (1) Quality of Comments. Comments in the OER must be sufficiently specific to present a complete picture of the Reported-on Officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned and justify those marks which deviate from a four. On those marks indicated by Commander (CG PSC-RPM-1) or (CG PSC-OPM-3) as not being supported, the Rating chain should either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided.
- (2) Administrative Remarks.
- (a) Marks and comments may be changed only by the original Supervisor and Reporting Officer.
- (b) Comments must be confined to the allotted space on the form. The Supervisor's comments must be confined to Sections 2-5 and the Reporting Officer's to Sections 7-8 and Section 10. Only the Reviewer may add a comment sheet in compliance with Article 5.A.4.d. of this Manual.
- (c) All changes to the original OER shall be initialed.
- (d) The dates in Blocks 6.e., 11.e., and 12.f. should be adjusted to reflect the date that the necessary changes and reviews were actually made.
- (e) A new OER form should be used if the corrections are extensive. A new form is required if more than two marks are changed or a different size or style of type is used for additional comments. The date submitted (Block 1.l.) should not be changed.

5.A.5. Preparation and Use of the Duty Under Instruction (DUINS) OER

5.A.5.a. General

This section describes the procedures for preparing and processing DUINS OERs.

- (1) The Officer Evaluation Report, Form CG-5310 (series), submission schedule for officers assigned to DUINS shall be as follows:

- (a) When a Reported-on Officer is assigned PCS duty under instruction to a civilian institution, Naval Post Graduate School (NPS) Monterey, or an Armed Forces School (Service or Senior Service), OER submission will be coordinated with routine breaks in the school's academic schedule. For lieutenants (junior grade) and below, at minimum OERs shall be submitted twice a year. For lieutenants and above, at minimum OERs shall be submitted once a year.
- (b) When a Reported-on Officer is assigned PCS duty under instruction to industry training, OERs shall be submitted upon detachment of the officer or completion of the program. Cannot exceed requirements contained in Article 5.A.3.a.(1)(a) of this Manual.
- (c) When a Reported-on Officer is assigned PCS duty under instruction to Flight Training, OERs shall be submitted at the end of each training phase. Cannot exceed requirements contained in Article 5.A.3.a.(1)(a) of this Manual.
- (d) Reported-on Officer's assigned duty under instruction to the Naval Special Warfare Command, Sea, Air, and Land Forces (SEAL) Training Program, are first assigned to an initial basic indoctrination course, followed by a 1 to 2 year training program, culminating in assignment to a Navy SEAL unit as their primary duty. For OER purposes in these cases, the following submission criteria applies:
 - [1] Indoctrination period: The Reported-on Officer's permanent rating chain shall follow the normal submission schedule criteria while the officer is TDY to the basic indoctrination. Delays to regular submission schedule to coincide with indoctrination completion may be considered by Commander (CG PSC-OPM-3).
 - [2] Training Period: Once the Reported-on Officer has successfully completed indoctrination and commences the training phase, all future OER submissions will be submitted as a DUINS at the completion of each training phase. The Coast Guard program manager is responsible for OER submissions. Reporting periods cannot exceed maximum submission schedules in accordance with Article 5.A.3.a.(1)(a) of this Manual.
 - [3] Upon Primary Duty assignment to a Navy SEAL unit, the Reported-on Officer shall assume the submission schedule based on their pay-grade in accordance with Article 5.A.3.a.(1)(a) of this Manual.
- (e) When a Reported-on Officer is assigned PCS duty under instruction and performing duty as an intern or trainee at a Coast Guard unit (e.g., Law student, legal staff intern), a concurrent OER may be submitted for a period of greater than 14 days. This concurrent OER provides an opportunity for DUINS students to document performance. A concurrent OER does not count for continuity and this is an exception to the guidelines provided in Article 5.A.3.c.(2) of this Manual.

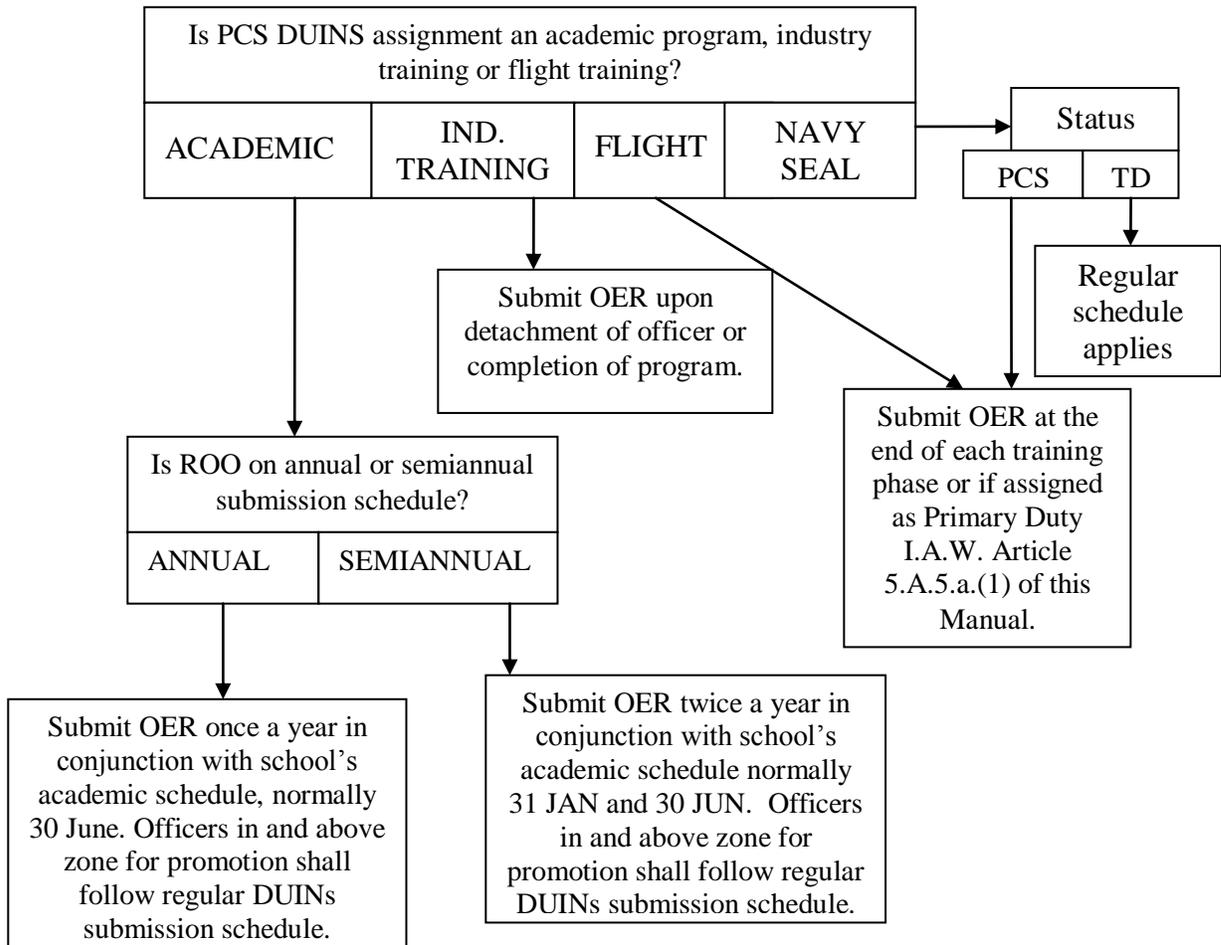
- (f) Officers in and above zone for promotion shall follow the regular DUINS submission schedule. A DUINS OER period of report shall not exceed 18 months.
 - (g) SSG students shall follow regular submission schedules outlined in Article 5.A.3. of this Manual.
- (2) Use the DUINS flowchart (Figure 5.A.10. of this Manual) for general guidance when submitting a DUINS OER.

5.A.5.b. Designation of Rating Chain Members

- (1) For Reported-on Officers assigned PCS duty under instruction to a civilian institution, industry training, or to NPS Monterey, rating officials will be individuals within the appropriate program managing office.
- (2) For Reported-on Officers assigned PCS to duty under instruction to Service schools such as flight training, Naval War College (command and staff), AFSC, etc., the host Service's chain of command will function as the Supervisor and Reporting Officer. The Reviewer will be either the Coast Guard liaison officer (if any) or an individual within the appropriate program managing office.
- (3) For Reported-on Officers assigned PCS to duty under instruction to the Navy SEALs Program, the Coast Guard parent command will serve as the rating chain. Upon primary duty assignment to a navy SEAL unit, refer to Article 5.A.2. of this Manual.
- (4) For officers assigned PCS to duty under instruction to Senior Service Schools, e.g., Air War College, Naval War College, National War College, or Brookings Institute, etc., the host Command's chain of command will function as the Supervisor and Reporting Officer.
- (5) For Commander and below at either a military or civilian senior service school, the Reviewer will be the chief of the headquarters program managing office.
- (6) For Captains attending any DUINS program, the Reporting Officer and Reviewer shall be a Coast Guard Flag Officer or Coast Guard Senior Executive Service member from the appropriate headquarters program managing office.
- (7) For Captains attending Senior Strategic Groups (SSG), the Reporting Officer and Reviewer shall be a Coast Guard Flag Officer or Coast Guard Senior Executive Service member, or service equivalent (e.g., Chief of Naval Operations for the CNOS SSG) unless article 5.A.2.e.(1)(g) of this Manual applies. Unlike other DUINS programs, SSG studies require a regular OER to include marks and comments.
- (8) For all other DUINS Officers, (law degree, public admin, etc) the supervisor and reporting officer may be the headquarters program managing office.

- (9) Letter reports signed by school officials are no longer accepted as attachments for DUINS programs that provide official transcripts or degrees. Course titles, grades, grade point average and semester hours can be cited in block 3 of the Officer Evaluation Report (OER), Form CG-5310. For those DUINS programs at institutions that do not provide official transcripts or degrees, letter reports signed by school officials are still required at the completion of a DUINS assignment.
 - (10) For commanders and below where a civilian serves as the Reporting Officer, no Reviewer comments are required. Optional Reviewer comments may be submitted and shall follow the format specified in Article 5.A.4.d. of this Manual.
-

Figure 5.A.10. OER For Duty Under Instruction (DUINS)



Key:
ROO = Reported-on Officer

5.A.5.c. Preparation

- (1) Section 1—Administrative Data. The Reported-on Officer will complete all items in this Section and Section 13 (Return Address). The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- (a) Name. Last and initials only.
- (b) EMPLID. Ensure correct.
- (c) Grade. Two-character pay grade (e.g., W2, O5) as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- (d) Date of Rank. Date of rank in all numerals (e.g., 2010/01/23) for the rank of the officer associated with the period of report.
- (e) Unit. The name of school, college, or university being attended or designation of industry training.
- (f) Administrative Target Unit (ATU) and Operating Facility (OPFAC).
 - [1] ATU. Use the two-digit numeric designation of personnel servicing unit to which administratively assigned (e.g., 01 for First District, 98 for Headquarters).
 - [2] OPFAC. Use the OPFAC number assigned to the institution.
- (g) Days Not Observed. Enter a two-digit number in all categories representing the days not observed during the evaluation period.
- (h) Date Reported. Indicate the actual date of reporting to the school specified in f. as shown in Direct Access. Enter date in the same format as d. above.
- (i) Period of Report. The regular reporting period commences the day after the ending date of the previous regular OER and ends on the date of the occasion for the report. Dates shall be entered in the same format as e. above.
- (j) Occasion for Regular Report. Mark "Annual," "Semiannual" or "Detachment of Officer" as the occasion for the report.
- (k) Exception Report. Leave unmarked.
- (l) Date Submitted. The date the Reported-on Officer submits the OER form to the

Supervisor. Dates will be entered in the same format as Article 5.A.5.c.(1)(d) of this Manual.

(2) Section 2, Description of Duties and Attachments.

- (a) Identify the institution or school attended and its location, the program or degree sought or earned, and the expected duration or completion of the program (e.g., Primary Duty: DUINS – UNIVERSITY OF SAN DIEGO).
- (b) List documents attached to the OER. Letter reports signed by school officials are required at the completion of a DUINS assignment only if the institution does not provide an official school transcript (e.g., RAND, SLOAN) and should be listed as an attachment.
- (c) Do not attach transcripts or diplomas.

(3) Sections 3 through 10.

- (a) The "Not Observed" circle shall be used for all marks. Leave section (comparison or rating scale) blank.
- (b) As applicable to the program being attended, course titles, grades, and grade point average for each semester covered by the OER shall be listed in Block 3f.
- (c) No other comments are authorized in these sections.

(4) Reviewer Comments. Reviewer comments are optional regardless of the rating chain members. When used, Reviewer comments shall follow the format specified in Article 5.A.4.d. of this Manual.

5.A.6. Preparation and Use of the Officer Support Form (OSF) Worksheet

5.A.6.a. General

This section suggests procedures for preparing and using the optional OSF worksheet. This form may be used by the Reported-on Officer, the Supervisor, or both, as an aid to establishing a clear understanding of job expectations and assist the Supervisor in providing constructive performance feedback and in preparing proper evaluations. Use of the OSF or similar format is mandatory for Supervisors of all Reported-on Officers in the grades of ensign and lieutenant (junior grade). The form may be handwritten or typed. If a documentation format other than the OSF is used, general adherence to the major sections of the OSF are encouraged.

5.A.6.b. Functions of the OSF

- (1) Serves as a vehicle for clarifying the Reported-on Officer's job responsibilities and

areas of the job which either the Reported-on Officer and/or Supervisor feel should receive emphasis during the reporting period.

- (2) Serves as a means for the Reported-on Officer to inform the Supervisor if beginning or end-of-period performance feedback or counseling is desired.
- (3) Provides the Reported-on Officer a means of bringing to the Supervisor's attention significant accomplishments or aspects of performance which occurred during the period.
- (4) Provides a convenient place for the Supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.
- (5) Serves as a vehicle for giving specific, constructive performance feedback.
- (6) Assists the Supervisor and Reporting Officer in preparing well-substantiated performance evaluations.
- (7) Serves as a vehicle for the supervisor of a TDY officer, assigned temporarily for periods of less than 60 days, or an ADOS officer, assigned temporarily for periods of 182 days or less, to relay information to the Reported-on Officer's OES Supervisor. The OSF is normally submitted to the Supervisor upon detachment of the officer from TDY.
- (8) Serves as a means for district commanders to report on commanding officers of Headquarters units located within their districts. This is an optional avenue to address community relations and those aspects of performance relating to the support services defined in Memoranda of Understanding (MOUs), host-tenant agreements, intra-service support agreements, or similar contracts. If used, OSFs will be submitted directly to the Reported-on Officer's regular Supervisor approximately 21 days before the end of the reporting period.

5.A.6.c. The Form

Officer Support Form (OSF), Form CG-5308, may be used for all grades of officers. It consists of four pages with six major sections:

- (1) Administrative Data
- (2) Description of Duties
- (3) During Period Adjustments
- (4) Accomplishments and Shortcomings for the Reporting Period
- (5) Supervisor Comments on Reported-on Officer Accomplishments and shortcomings

(6) Performance Observations

5.A.6.d. Preparation(1) Section 1, Administrative Data.

- (a) Name/Rank of Reported-On Officer.
- (b) Name/Rank of Supervisor. Normally, this will be the primary Supervisor as published in the rating chain.
- (c) Period Covered. The period of time covered by the information noted in the form. Normally the same as the OER reporting period.

(2) Section 2a, Description of Duties.

- (a) This space provides opportunity for the Reported-on Officer or Supervisor to make a “common sense” outline of the Reported-on Officer’s normal duty requirements for the specific billet or duty position.
- (b) Entries should show the type of work required rather than frequently changing tasks.
- (c) Descriptions should be clear, concise, and specific; explain what the Reported-on Officer’s job is; and not merely list primary and collateral duty titles.
- (d) Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.

(3) Section 2b, Areas of Emphasis.

- (a) This section provides an opportunity for the Reported-on Officer or Supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.
- (b) Particular goals for the Reported-on Officer’s professional development during the period may be listed as well (such as completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses, etc.).

(4) Section 2c, Initial Meeting Desired.

- (a) This section shall be used by the Reported-on Officer to notify the Supervisor if a meeting is desired at the beginning of the reporting period to discuss what is

expected for the coming period. If the Reported-on Officer desires a meeting, they shall submit the OSF to the Supervisor no later than 21 days before the beginning of the reporting period.

- (b) When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

(5) Section 3, During Period Adjustments.

- (a) This section is useful when circumstances affecting the Reported-on Officer's duties, projects, and areas of emphasis change to any significant degree.
- (b) The Reported-on Officer or Supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact upon the Reported-on Officer's ability to attain the expected results.

(6) Section 4a, Accomplishments for the Period.

- (a) In this section, the Reported-on Officer may list accomplishments and progress toward completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.
- (b) If the Reported-on Officer intends to apprise the Supervisor of accomplishments or progress for the period using the OSF, the Reported-on Officer shall submit the OSF no later than 21 days before the end of the reporting period.

(7) Section 4b, End of Period Meeting Desired.

- (a) The Reported-on Officer shall use this section to notify the Supervisor an end-of-period meeting is desired.
- (b) When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

(8) Section 5, Supervisor's Comments on the Reported-on Officer's Accomplishments and Shortcomings for Period.

- (a) The Supervisor may affirm, supplement, expand, or otherwise comment upon the Reported-on Officer's accomplishments during the reporting period. The Supervisor should draw from the information generated by conferences and other performance.
- (b) Comments here may become a subject for discussion during the end-of period conference.

(9) Section 6, a-f, Performance Observation.

- (a) This section of the OSF is used by the Supervisor to note specific examples of the Reported-on Officer's performance or qualities observed or brought to the Supervisor's attention in each of the major evaluation areas of the OER.
- (b) The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and substantiating evaluations on the OER. Entries are best noted chronologically as they occur in the appropriate evaluation area.
- (c) For convenience, the Supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the Reported-on Officer's performance during the reporting period
- (d) Supervisors are encouraged to exercise imagination in utilizing section 6 of the OSF as an aid in obtaining information related to the Reported-on Officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the Reported-on Officer's performance or the performance of their organizational unit are acceptable and may be helpful.

5.A.6.e. Disposition of the OSF

- (1) When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from his or her copy to the original, which has been held by the Reported-on Officer during the period. Having used the OSF as an aid in evaluating the Reported-on Officer's performance, the Supervisor then forwards the original OSF, the OER, and any other information available to the Reporting Officer. The Supervisor then destroys the copy of the OSF, if different from the original. A photocopy of the original may be retained.
- (2) The step in Article 5.A.6.e. (1) above (describing the transfer of information from a working copy to the original OSF) represents one recommended way and is not intended to restrict the Supervisor in finding a flexible or more convenient way to finalize the OSF. There are a variety of approaches by which information may be obtained or transferred from one form to another subject to the Supervisor's preference. The goal is for the Reported-on Officer to be aware of what his/her evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.
- (3) Supervisors and Reported-on Officers are encouraged to be flexible in using the OSF as an aid in carrying out their duties within the spirit of these instructions. Filing copies of correspondence, messages, work lists, trip reports, and even paper notes in the OSF is a sound means of spontaneously documenting the Reported-on Officer's

performance. These documents can greatly assist in giving performance feedback and writing an evaluation.

- (4) Assisted by the OSF, personal observations, and other information available, the Reporting Officer evaluates the Reported-on Officer's performance of duties, personal qualities, and potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.
-

5.B. Correction of Military Records

Coast Guard officers are encouraged to review their record periodically. While Commander (CG PSC-OPM) and (CG PSC-RPM) attempt to ensure that OERs accurately reflect officers' performance, the possibility of administrative or substantive error still exists. Accordingly, officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error. Those officers wishing to exercise this right should follow the procedures to correct military records contained in Correcting Military Records, COMDTINST 1070.1 (series) for forwarding the application to the Personnel Records Review Board (PRRB) or Board for Correction of Military Records (BCMR), as appropriate. The application may be forwarded through the original rating chain at the officer's option. If the whereabouts of the original members of the rating chain are unknown, officers should submit the application directly to the PRRB or BCMR. Additionally, an officer may forward his or her application via the officer's current chain of command but is not required to do so and may send the application directly to the PRRB or BCMR.

5.C. Officer Evaluation System Changes

5.C.1. General

Commander (CG PSC) will report annually on the health of the Officer Evaluation System (OES). Statistical trends and conclusions will be included in the report, plus recommended changes for the current year and identification of issues and/or changes under consideration.

5.C.2. Participation

Anyone is encouraged to recommend improvement or change. Address formal or informal correspondence to Commander (CG PSC-RPM-1) or (CG PSC-OPM-3). Communication by telephone is also encouraged to discuss issues or areas of personal concern.

CHAPTER 6 PERSONNEL BOARDS

6.A. Commissioned and Chief Warrant Officer Personnel Boards

6.A.1. General

6.A.1.a. Significance

Personnel boards are so significant every officer in the Service should know board procedure and the general criteria boards use, whether determining promotion, continuation, retention, or appointment.

6.A.1.b. Guidelines

The criteria published here are furnished to boards solely to guide and do not limit the scope of authority vested in them. Each board member must retain an impartial, unbiased, unprejudiced attitude about all officers being considered and all groups and Coast Guard specialized duties. Any limitation of choice arbitrarily imposed on personnel boards by an outside authority would be unlawful and highly improper.

6.A.1.c. Type of Board

Personnel boards, such as those that select officers on the active duty promotion list (ADPL) to grades above lieutenant (junior grade) and consider captains for continuation on active duty, select on a best-qualified basis, in which the board is limited to a specific number it may select. Other personnel boards, such as those selecting officers for promotion to lieutenant (junior grade), select on a fully-qualified basis. Under this selection process, system, or method, the board compares each officer to a standard and recommends all who meet or exceed it. Accordingly, in addition to the fully-qualified standard, the board also must select by comparing each officer to all others considered. This procedure enables the board to select from the entire group the limited number whom it believes are the best-qualified.

6.A.2. Board Purposes

Personnel boards are convened for various purposes, including recommending officers for:

- (1) Promotion.
 - (2) Continuation on active duty.
 - (3) Retention in a particular occupational field.
 - (4) Designation in a particular occupational field.
-

6.A.3. Selection Criteria

6.A.3.a. General

- (1) Personnel boards recommend on either a best-qualified or fully-qualified basis as set forth in law and directed in the precept. All personnel boards consider fundamentally the same type of information. However, each board develops its own overall standards and selection criteria. The degree of significance a board assigns to each of the many factors it considers may vary according to the grade and type of selection the board is making. A board selecting officers for lieutenant may emphasize different factors than would a Captain Continuation Board.
- (2) Promotion is not a reward for satisfactory service. It confirms an officer's demonstrated potential to serve the Coast Guard in a higher grade.

6.A.3.b. Basic Criteria

- (1) Performance Evaluations. A significant selection criterion is performance in present and past assignments. Boards should adhere to the following interpretations and policies when evaluating performance.
 - (a) Officer evaluation report forms define performance dimensions considered most significant in assessing an officer's performance and readiness for greater degrees of responsibility.
 - (b) Though the same performance dimensions seem important at every grade, some ensign level is quite different from that at the captain level, even though leadership at each level shares many common elements.
- (2) Professionalism.
 - (a) Professionalism is an essential element in selecting officers for promotion. Coast Guard officers must provide quality service to the public while promoting a positive image of the Coast Guard.
 - (b) The diversity of officer assignments in the Coast Guard makes it impossible for any officer to be qualified for all of them; the Service expects each officer to have true professional competence in one occupational field and, from assignments outside it, experience in other fields. While technical specialization is essential in certain lower grades and for certain assignments, in the higher grades emphasis shifts to leadership skills.
 - (c) Each officer must be familiar with Coast Guard general administration and display interest in the immediate assignment, the rest of the Service, and the surrounding community and the world by improving his or her knowledge Service-related subjects through study, activities and associations. The capable

individual is highly adept at transferring talents from one task to another, which enables the Service to fulfill its mission and objectives.

- (d) Until recently, most officers had frequent operational assignments throughout their careers and were competent mariners or aviators. However, Coast Guard missions have changed so much the present number of billets makes this impractical. In fact, to maintain professional competence it is necessary to repeatedly assign certain officers to similar billets. This means the Service may not assign many officers to operational duty, particularly lieutenant commanders and above. It thus follows that operational experience, by itself, cannot be a universal selection requirement.
- (3) Leadership. Officers selected demonstrate those leadership traits and values that allow them to serve in a series of assignments with increasing responsibility in the grade to which promoted. Officers must exemplify our core values of honor, respect and devotion to duty in the highest degree.
- (a) A leader influences people to accomplish a purpose. Coast Guard leaders concentrate on “doing right things right,” integrating a leader’s focus on effectiveness with a manager’s focus on efficiency.
- (b) A successful leader inspires others by:
- [1] Convincing them they have the solution and acting decisively and confidently;
 - [2] Sharing a vision of service, excellence and achievement;
 - [3] Demonstrating a commitment to innovation and quality team work; and,
 - [4] Modeling strength of character in word and action.
- (4) Education. Another consideration is education. To maintain a high level of expertise in areas such as science, engineering, operations, and administration, many officers are detailed to postgraduate education or specialized training. It would be desirable to afford every officer such an opportunity, but this is impossible. Thus, a board should not disproportionately emphasize an officer’s postgraduate training. Commissioned officers participate in education programs voluntarily. Each board should consider these factors in evaluating education:
- (a) Whether an officer pursues educational courses commensurate with his or her previous training and experience.
- (b) An officer’s accomplishments in the program, including the grades attained where applicable.
-

6.A.4. General Procedures for All Boards

6.A.4.a. Responsibilities

Each personnel board member shall impartially and fairly evaluate the qualifications of each officer whose name is submitted to the board to determine whether he or she meets the overall criteria the board established considering the parameters outlined in Article 6.A.3. of this Manual.

6.A.4.b. Compliance

Personnel board actions shall comply with applicable laws, regulations, and their precept.

6.A.4.c. Consistency

So successive personnel boards' actions may be consistent, Commander (CG PSC-OPM) and selected staff members shall appear before each personnel board to brief the members on applicable laws, regulations, and Service needs. Since the board is convened solely to obtain its members' opinion, it must act according to its own judgment and is bound only by existing law and the oath its members take.

6.A.4.d. Material Furnished

Commander (CG PSC-OPM) furnishes personnel boards the names and personnel records of all officers to be considered. The personnel record consists of general administrative paperwork including such items as statements of service and sea service, the record of emergency data, Administrative Remarks, Form CG-3307, entries, documentation of alcohol incidents, and reports of civil arrests, performance evaluations, education information, and awards and discipline documentation. A board must consider an officer's entire record; however, the following is considered the most significant portion of the record evaluated:

| Grade Considered | Service Period |
|---|--|
| Rear Admiral (Lower Half), Captain, Commander | Seven years of immediate previous service or all service in present grade, whichever is greater. |
| Lieutenant Commander | Six years of immediate previous service or all service in present grade, whichever is greater. |
| Lieutenant, Lieutenant (Junior Grade) | All commissioned service. |

6.A.4.e. Additional Information

If the board desires additional information or clarification, the board president shall request it in writing from Commander (CG PSC-OPM).

6.A.4.f. Fitness for Duty

Boards shall assume each officer it considers is fit for full duty unless otherwise advised.

6.A.4.g. Administrative Letters of Censure

Article 1.E. of reference (q), Discipline and Conduct, COMDTINST M1600.2 (series), prohibits filing administrative letters of censure in officers' personnel records. Since non-punitive censures were previously filed in an officer's official record, a board finding one shall ignore it when evaluating performance. However, a board may consider and evaluate the facts on which an administrative letter is based if an Officer Evaluation Report or other documents refer to them.

6.A.4.h. Officer Education Reporting Program

The Officer Education Reporting Program is voluntary. Officers may report educational achievement annually on a Record of Professional Development, Form CG-4082, for board consideration.

6.A.4.i. Board Proceedings

Except for its Report of the Board, the board members shall not disclose proceedings or deliberations to any person not a member of the board (14 U.S.C. § 261).

6.A.5. Procedure for Boards Considering Officers on a Fully-Qualified Basis**6.A.5.a. Board Recommendation**

Boards convened to recommend officers for promotion on a fully-qualified basis should recommend those whose records indicate they are qualified to perform all duties to which they reasonably might be assigned in the grade for which they are being considered. Each board shall definitely recommend whether each officer it considers is or is not qualified, without any restrictions or qualifications.

6.A.5.b. Comparison

In recommending each officer it considers, the board should compare him or her to the present grade and those in the next higher grade to determine how well the individual measures up to such officers according to the overall criteria the board established. If the board believes the officer has demonstrated by past performance, fitness, and potential to perform creditably those duties to which he or she reasonably might be assigned, the board should recommend him or her. If past performance indicates potential for increased responsibilities and administrative assignments is doubtful or limited, the board should not recommend the officer.

6.A.5.c. Not Recommended

If the board does not recommend an officer or finds an officer's performance in his or her present grade is unsatisfactory, the board shall indicate its reasons.

6.A.5.d. Board Report

Each board's report shall contain:

- (1) A cover sheet.
 - (2) A membership roster.
 - (3) The convening, meeting, and adjourning dates.
 - (4) A list of officers recommended.
 - (5) A list of officers found not fully-qualified for promotion with the specific reason why each was not recommended for promotion.
 - (6) A list of officers whose performance of duty in present grade the board considered unsatisfactory with the specific reason why each was found as such.
 - (7) A certification that in the opinion of at least three members if the board has five, or two-thirds of the members if the board has six or more members, the officers recommended are fully-qualified for promotion.
 - (8) Each member's signature.
-

6.A.6. Procedure for Boards Considering Officers on a Best-Qualified Basis

6.A.6.a. Number of Officers

Boards convened to consider officers on a best-qualified basis for promotion, continuation on active duty, retention in a particular occupational field, or appointment in another status may recommend to promote, continue, retain, or appoint only the number specified in the precept.

- (1) In 1963, legislation amended Title 14, United States Code, to improve the quality and efficiency of the Coast Guard officer corps by replacing a system based on seniority with one which would select the best-qualified officers.
- (2) Fundamental to selecting for promotion on a best-qualified basis is the fact the number of officers to be selected is fewer than the number being considered.

6.A.6.b. Comparison

In recommending, a board shall compare all officers submitted for consideration and base its recommendations on the extent to which they compare among themselves in accomplishing past assignments and potential for greater responsibility according to the overall criteria the board adopted; however, Article 6.B.1.f. of this Manual limits below zone promotion selections.

- (1) Selection on a best-qualified basis embodies three elements. The board:
 - (a) First, considers all officers impartially and equally.
 - (b) Second, applies the same criteria to all.
 - (c) Third, evaluates by comparison, with the most capable officers advancing to positions of higher responsibility.
- (2) Best-qualified boards consider officers' records, comparing past performance, their capacity to undertake successfully tasks of progressively greater difficulty involving broader responsibilities, their capability and inclination to study for further professional growth, and their potential to perform creditably those duties to which these officers might be assigned in the next higher grade.

6.A.6.c. Board Report

The report of the board shall contain:

- (1) A cover sheet.
 - (2) A membership roster.
 - (3) The convening, meeting, and adjourning dates.
 - (4) A list of the officers recommended for promotion, continuation, retention, or appointment in the order of relative precedence they held before the current consideration.
 - (5) A certification that, in the opinion of at least three members if the board has five or two-thirds of the members if the board has six or more, the officers recommended for promotion, continuation on active duty, retention in a particular occupational field, or appointment in another status are the best-qualified for promotion, continuation, retention, or appointment of those officers whose names were furnished to the board (14 USC 260).
 - (6) Each member's signature.
-

6.A.7. Procedure for Boards Considering Officers on Both a Fully-Qualified and Best-Qualified Basis

6.A.7.a. Number of Officers

Boards convened to consider officers on both a fully- and best-qualified basis for promotion, continuation on active duty, retention in a particular occupational field, or appointment in another status, may recommend to promote, continue, retain, or appoint up to the number specified in the precept.

6.A.7.b. Comparison

In recommending each officer it considers, the board must make two determinations, fully-qualified and best-qualified.

(1) The Fully-qualified Determination. First, the board should compare each officer to those in the present grade and those in the next higher grade to determine how well the individual measures up to such officers according to the overall criteria the board established. If the board believes the officer has demonstrated by past performance, fitness, and potential to perform creditably those duties to which he or she reasonable might be assigned, the board should go to the second determination step. If past performance indicates the potential for increased responsibilities and administrative assignments is doubtful or limited, the board should not recommend the officer.

(2) The Best-qualified Determination.

(a) Those officers meeting the fully-qualified determination described above must then be selected on a best-qualified basis, which embodies three elements; the board:

[1] First, considers all those fully-qualified officers impartially and equally.

[2] Second, applies the same criteria to all.

[3] Third, evaluates by comparison, with the most capable officers advancing to positions of higher responsibility.

(b) In recommending, a board shall compare all officers submitted for consideration and base its recommendations on the extent to which they compare among themselves in accomplishing past assignments and potential for greater responsibility according to the overall criteria the board adopted. Best-qualified boards consider officers' records, comparing past performance, their capacity to undertake successfully tasks of progressively greater difficulty involving broader responsibilities, their capability for further professional growth, and their potential to perform creditably those duties to which these officers might be assigned in the next higher grade. Only officers who have been found fully-qualified may be

selected.

[1] Normally, the number of officers found fully-qualified exceeds the number of officers found best-qualified. There is no requirement to identify reasons for those officers who were fully-qualified but not best-qualified. However, if an officer is found to be performing in an unsatisfactory manner, the Board shall specify the reason for that finding.

[2] When the board is tasked with choosing up to a maximum number of best-qualified candidates, they may choose less than that number only if there are an insufficient number of fully-qualified officers. If the board selects less than the maximum number, it is indicating that the officers not chosen were either not fully-qualified or unsatisfactory in their performance and shall specify in writing the reasons for each of these non-selections.

6.A.7.c. Board Report

- (1) Commander (CG PSC-OPM-1) may furnish boards with procedures and forms to assist them in evaluating records. The determination to use such assistance in the form provided or in modified form or not at all, rests solely with the board.
 - (2) The board shall submit a report of its proceedings to the Commandant for Secretarial approval under the delegation contained in 49 CFR 1.45(a)(1), to include:
 - (a) A cover sheet.
 - (b) A listing of membership.
 - (c) A listing of the convening, meeting, and adjourning dates.
 - (d) A listing of the names of officers recommended for promotion in the order of relative precedence that they held prior to the current consideration.
 - (e) A certification that, in the opinion of at least a majority of the members of the board, the officers recommended for promotion are fully qualified and the best qualified of those officers whose names have been furnished to the board.
 - (f) The signature of each member
 - (g) The original precept, appended.
-

6.B. Selection for Promotion

6.B.1. Selection Boards for Promotion from Lieutenant (Junior Grade) Through Rear Admiral (Lower Half)

6.B.1.a. Convening a Board

At least annually and at other times when the needs of the Service require, the Secretary shall convene selection boards to recommend for promotion to the next higher grade officers on the active duty promotion list (ADPL) in each grade from lieutenant (junior grade) through captain, with separate boards for each grade. However, the Secretary need not convene a board to recommend promotion to a grade if no vacancies exist in it and estimates none will occur in the next 12 months (14 USC 251).

6.B.1.b. Selection Board Composition

The selection board shall consist of five or more officers on the ADPL who serve in or above the grade to which the board may recommend promoting officers. No officer may serve on two successive boards convened to consider officers of the same grade for promotion (14 USC 252).

6.B.1.c. Board Convening Notice

Before convening the selection board, Commander (CG PSC) gives the Service at large notice of the convening date, the promotion zone considered, officers eligible for consideration, and the number of officers the board may recommend for promotion (14 USC 253(a)).

6.B.1.d. Selection Board Member's Oath

Each selection board member shall swear he or she will perform the duties imposed on him or her without prejudice or partiality having in view both officers' special fitness and the efficiency of the Coast Guard (14 USC 254).

6.B.1.e. Information Furnished to Selection Boards

Commander (CG PSC) shall furnish each selection board with this information:

- (1) The number of officers the board may recommend for promotion to the next higher grade; and
- (2) The names and records of all officers eligible for consideration for promotion to the grade to which the board will recommend officers for promotion (14 U.S.C. § 258).

6.B.1.f. Number of Officers Recommended for Promotion from Below the Zone

- (1) The number of eligible officers the board may select from below the zone for rear admiral (lower half) is unlimited. For all lower grades, the selection board shall recommend those officers it considers best-qualified from among those eligible under consideration in, above, and below the promotion zone in the limited numbers prescribed below.
- (2) The number of officers the selection board may recommend for promotion to the grade of captain or below from among eligible officers junior in rank to the junior officer in the appropriate promotion zone may not exceed:
 - (a) Five percent of the total number of officers the board is authorized to recommend for promotion to the grade of lieutenant or lieutenant commander.
 - (b) Seven and one half percent of the total number of officers the board is authorized to recommend for promotion to commander, and
 - (c) Ten percent of the total number of officers the board is authorized to recommend for promotion to captain.
- (3) However, if such percentage is a number less than one, the board may recommend one officer for promotion (14 U.S.C. § 259).

6.B.1.g. Submitting Selection Board Reports

- (1) The selection board submits a report, as outlined in Article 6.A.6.c. of this Manual, to the Secretary. If the board has acted contrary to law or regulation, the Secretary may return the report for revision and resubmission. After final review, the Secretary submits the board report to the President for approval, modification, or disapproval.
 - (2) If any officer recommended for promotion is not acceptable to the President, he or she may remove that officer from the board's report.
 - (3) When the President approves the report, Commander (CG PSC) promptly disseminates the names of officers the board selected for promotion to the Service at large.
 - (4) Except as this Article requires, no one shall disclose selection board proceedings to any person not a member of the board (14 U.S.C. § 261).
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6.B.2. Selection Boards for Promotion from Ensign to Lieutenant (Junior Grade)

6.B.2.a. Convening a Board

Approximately three months before the date an ensign completes 18 months of active service, computed from his or her date of rank as an ensign on the Active Duty Promotion List (ADPL), Commander (CG PSC) shall convene a selection board to consider him or her for promotion to the grade of lieutenant (junior grade).

6.B.2.b. Board Composition

The selection board shall consist of at least five officers on the ADPL serving as lieutenants or above. If practical, boards considering Reserve ensigns on extended active duty shall include at least one Reserve officer.

6.B.2.c. Board Members' Oath

Selection board member shall comply with Article 6.B.1.d. of this Manual.

6.B.2.d. Selection Method

A board considering ensigns for promotion shall recommend those officers it considers fully-qualified for promotion to lieutenant (junior grade). (See Article 6.A.5. of this Manual.)

6.B.2.e. Submitting Reports

The board shall submit a report as outlined in Article 6.A.5.d. of this Manual to the Commandant, through Commander (CG PSC) for approval, modification, or disapproval. If the board has acted contrary to law or regulation, Commander (CG PSC) shall return the report for revision and resubmission.

6.B.2.f. Consideration by Second Board

A second selection board will consider ensigns placed out of line for promotion whom the first board previously judged to be performing satisfactorily in that grade. If the second board selects the ensign, he or she shall be promoted under Article 3.A.5. of this Manual. Article 6.B.2.b. of this Manual specifies the second board's members; no one who served on the first board may serve on the second. The board considers the officer's entire record, emphasizing particularly the period when the officer was out of the line of promotion. The board should compare performance evaluation reports for that period with previous reports to determine whether the officer's performance has improved to the extent he or she now warrants selection on a fully-qualified basis.

6.B.2.g. Finding of Unsatisfactory in Grade

In accordance with 10 USC 12681, 14 U.S.C. § 214(c), or 14 U.S.C. § 281, as applicable, the Commandant will revoke the commissions or vacate the temporary appointments of ensigns in their first three years of commissioned service who fail selection for promotion to lieutenant (junior grade) and whom the selection board determines are performing unsatisfactorily in grade, irrespective of Article 1.A.8. and 1.A.10. of reference (c), Military Separations, COMDTINST M1000.4 (series).

6.B.3. Selection Boards for Promoting RPAs**6.B.3.a. Convening a Board**

At least annually or when Service needs require, Commander (CG PSC) shall convene selection boards to recommend for promotion to the next higher grade Reserve Program Administrators (RPAs) in each grade from lieutenant (junior grade) through commander. A board may consider officers in more than one grade.

6.B.3.b. Board Composition

A board convened to consider RPAs for promotion to the next higher grade shall consist of five or more officers serving in or above the highest grade to which the board may recommend officers for promotion. Three members shall be RPAs. If enough are not available to satisfy this requirement, Commander (CG PSC-OPM) may reduce the number of RPA members, but the board must have at least one RPA. If no Reserve officer serving on active duty is senior to all officers under consideration, Commander (CG PSC-OPM) may recall to active duty a retired Reserve officer or one serving on inactive duty senior to all officers the board will consider to serve on the board.

6.B.3.c. Notice of Convening

Commander (CG PSC) shall give notice of convening a selection board in the same manner as described in Article 6.B.1.c. of this Manual.

6.B.3.d. Members' Oath

Selection board members shall comply with Article 6.B.1.d. of this Manual.

6.B.3.e. Information Furnished to Boards

Commander (CG PSC) shall furnish the appropriate selection boards with this information:

- (1) The number of officers the board may recommend for promotion to the next higher grade; and
- (2) The names and records of all officers eligible for the board to consider.

6.B.3.f. Selection Criteria

- (1) The board uses best-qualified criteria to consider RPAs for promotion to lieutenant and above. However, if the number of officers eligible for selection equals the number to be selected as determined in Article 3.A.6.a. of this Manual, the board uses fully-qualified criteria.
- (2) Under fully-qualified criteria, a board recommends for promotion only those RPAs who have demonstrated:
 - (a) Demonstrated competence in the Reserve Program Administration and as an officer,
 - (b) Desire for continued growth and development as an RPA. The board may consider such factors as achievements as a Reserve officer, educational accomplishments, and demonstrated competence in a responsible position within the Reserve program, and
 - (c) Potential for increased duties and responsibilities, additional growth, and professional development needed to qualify him or her for assignments to duties and responsibilities in the next higher grade.

6.B.3.g. Reports

- (1) Each board convened to select RPAs for promotion shall submit a written report signed by its members listing the officers recommended for promotion. If the board selects on a fully-qualified basis, its report shall contain detailed reasons for not recommending an officer for promotion.
- (2) The board shall certify that in the opinion of at least three members, if it has five, or two-thirds of the members, if the board has six or more, the RPAs recommended are fully qualified or the best-qualified for promotion, as applicable, of those Commander (CG PSC) furnished the board.

6.B.3.h. Submitting Reports

- (1) Each board shall submit its report to the Commandant, through Commander (CG PSC), for approval, modification, or disapproval. If the board has acted contrary to law or regulation, the Commandant or Commander (CG PSC) shall return the report for appropriate revision and resubmission.
 - (2) When the Commandant approves the report, Commander (CG PSC) promptly disseminates the names of the officers selected to the Service at large.
 - (3) Except as this Article requires, no one shall disclose selection board proceedings to any person not a member of the board.
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6.B.4. Selection Boards for Promotion of Officers on the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy

6.B.4.a. Convening of Boards

When one or more members of the PCTS are in the promotion zone, Commander (CG PSC) shall convene a selection board to consider them for promotion to the next higher grade. Separate boards may be convened for each grade if Commander (CG PSC) deems it appropriate; otherwise a single board shall act for all grades.

6.B.4.b. Composition of Boards

A board convened to select members of the PCTS for promotion to the next higher grade shall consist of five officers of the regular Coast Guard who are serving in or above the highest grade to which the board may recommend members of the PCTS for promotion. An officer who has served as a member of a board that did not recommend an eligible PCTS officer for promotion may not serve on a later board that again considers the same officer for promotion to the failed grade. To the extent that qualified members of the PCTS are available, at least two members shall serve as members of the selection board. However, at least one member of the board must be appointed from the ADPL.

6.B.4.c. Oath of Members of Boards

All members of the selection board shall swear that they will, having in view both the special fitness of members of the PCTS and the efficiency of the Coast Guard Academy in the accomplishment of its mission, perform the duties imposed upon them without prejudice or partiality. Further, that they will make their recommendations as to selection for promotion in accordance with the standards prescribed in Articles 6.B.4.e. and 6.B.4.f. of this Manual to the best of their ability.

6.B.4.d. Required Documentation

For each PCTS officer being considered for promotion, the officers' official personnel file will serve as the documentation on which the promotion decision will be based. The PCTS officer shall ensure that his/her Record of Professional Development, Form CG-4082, is updated and accurate.

6.B.4.e. Basis for Recommendation

Each selection board shall recommend for promotion those eligible members of the PCTS whom it considers fully qualified.

6.B.4.f. Performance Standards

(1) Typically, faculties at an institution of higher learning are evaluated based on their contributions to teaching, service, and intellectual activities. At the Academy,

however, faculties have the additional responsibility of contributing to the development of cadets as Coast Guard Officers. This responsibility is especially important to the role of PCTS. In addition, members of the PCTS are commissioned officers and thus are required to conduct themselves as such. Each performance dimension is discussed in general as follows:

- (a) Teaching and advising is the primary emphasis of all CGA faculties. Teaching encompasses course design, project design and supervision, daily class preparation, presentation of course material, assessment and evaluation of student performance, and techniques for motivating students to learn. Successful teachers have excellent skill in analysis and communication and are wholly committed to students and student learning.
 - (b) Service as in service to the Academy and the greater Coast Guard is expected; opportunities to contribute in this regard are many and varied. Examples of this performance standard include Academic Division leadership positions, major project officer responsibilities, major committee assignments, and Academy as well as Coast Guard related work assignments.
 - (c) Intellectual activity is a vital and necessary ingredient for a faculty at an institution of higher learning. Expectations for scholarly activity and professional growth depend upon rank and may vary somewhat with individual circumstances, such as seniority at the time of initial appointment and the service commitment of the PCTS member. Intellectual activity is to be interpreted broadly encompassing basic research, applied scholarship, pedagogy, and professional development.
 - (d) Cadet development is one of the Academy's two primary missions. Thus it is expected that members of the PCTS contribute significantly to the development of cadets as young adults, students, and future leaders. Again, the opportunities to contribute are many and varied. For example, participation in any of the multitude of summer training programs, participation in cadet social and musical activities, acting as a coach to a sporting team or advisor to a cadet club. Additionally, cadet development may manifest itself in the member's teaching, service, and/or intellectual activity. Members of the PCTS are also role models for cadets and junior military faculty. As role models and commissioned officers, they must maintain a high standard of bearing, conduct, integrity, and military professionalism.
- (2) These performance standards are meant to be flexible enough to capitalize on the strengths of individual members of the PCTS and meet the needs of the Academy as a whole while delineating the fully qualified standards for promotion. While each of the performance dimensions (teaching, service, intellectual activity, and cadet development and military professionalism) is important, it is neither expected nor desired that every member of the PCTS would focus their efforts in a like manner. For example, a member of PCTS may serve in a variety of Academic Division leadership positions, thus focusing on "service." Another member of the PCTS may

be conducting and publishing academic research and thus focusing on "intellectual activity." A third member of the PCTS may provide a more balanced picture of activity. As such, the three members will look very different to the promotion board. All three PCTS officers, however, may be fully qualified for promotion, if there is evidence of performance at or above the fully qualified level in each performance dimension.

- (3) A PCTS officer normally must be found to be performing at or above the fully qualified level in each performance dimension in order to be selected for promotion to the next grade. The fully qualified performance standards for promotion to each rank are defined more specifically as follows.

6.B.4.g. Performance Standards for Lieutenant/Lieutenant Commander

- (1) Teaching. Able to teach effectively any lower-level (i.e., introductory) course in the academic specialty.
- (2) Service. Has contributed to mission accomplishment at the Academy through service. Has demonstrated leadership potential.
- (3) Intellectual Activity (Lieutenant Commander only). Has demonstrated professional knowledge through participation in terminal degree program. Has demonstrated that the quality of work in terminal degree program to date has been of high quality. Has made progress toward the doctoral degree as contemplated in initial course of study approved by Dean of Academics as discussed in Article 6.B.12.i. of this Manual.
- (4) Cadet Development and Military Professionalism. Has performed satisfactorily in cadet leadership development and /or summer training activities. Has demonstrated counseling and role modeling skills through academic advising or other mentoring opportunities. Has maintained a high standard of bearing, conduct, and military professionalism.

6.B.4.h. Performance Standards for Commander

- (1) Teaching. Able to teach effectively any course in the primary academic specialty. Has the ability to serve as course coordinator for multi-section courses. Has served as an effective mentor for junior faculty members.
- (2) Service. Has continued to contribute to the Academy through service. Has demonstrated leadership potential through development and rational presentation of original ideas for the improvement of the Academy.
- (3) Intellectual Activity. The PCTS officer has met the timetable for completion of the terminal degree as approved by the Dean of Academics as set forth in Article 6.B.12.i. of this Manual. In addition, the PCTS officer is active in the academic community. Examples of intellectual activity include but are not limited to

presentations at seminars, academic conferences, an approved dissertation proposal, a completed dissertation, and publications in academic and/or practitioner journals.

- (4) Cadet Development and Military Professionalism. Has participated in cadet leadership development and/or summer training activities. Has demonstrated counseling and role modeling skills through academic advising or other mentoring opportunities. Has continued to maintain a high standard of bearing, conduct, and military professionalism.

6.B.4.i. Performance Standards for Captain

For selection to captain, the member must satisfy the following performance standards. In addition, the member should be recognized as outstanding in either teaching, service, or intellectual activities as per the criteria specified below.

- (1) Teaching. Recognized as a teacher who promotes creative and active learning in students by cultivating critical thinking and improving the overall quality teaching and learning at the Academy. Has a demonstrated record of success in guiding and evaluating junior faculty members. Outstanding: Has demonstrated professional knowledge through design of new courses and suggestions for curricula revision. Has made a significant impact on other faculty by fostering the art of teaching. Recognized by students as a superior teacher.
- (2) Service. Has served successfully in significant leadership positions, such as Section Chief, Assistant Dean, Assistant Department Head, project officer for major Academy event, or chairperson of a major faculty committee. Has demonstrated potential for future service as Department Head or equivalent position of academic leadership. Outstanding: Has demonstrated clear potential for positions of the highest leadership in the Academic Division through successful service in a significant service role. Examples include but are not limited to serving as Associate Dean, Director of Academic Advising, and Section Chief.
- (3) Intellectual Activity. Has earned terminal degree. Has shown evidence of continued and varied intellectual activity. Examples include but are not limited to conference proceedings, conference presentations, conference participation, book reviews, and intellectual service (e.g. journal editor/ reviewer). Outstanding: Has demonstrated exceptional competence in academic specialty through publication of original research. Examples include but are not limited to books, monographs, and peer-reviewed journal articles. To merit outstanding, the intellectual activity must be subject to external peer review.
- (4) Cadet Development and Military Professionalism. Has continued to demonstrate support for cadet development programs through participation and/or supporting actions. Has continued to maintain a high standard of bearing, conduct, and military professionalism. It is expected, however, that as a member of the PCTS becomes more senior, his/her cadet development activities will be more concentrated in

"teaching" and "service" versus specific cadet professional development programs. Thus no "outstanding" criteria are specified for this performance dimension.

6.B.4.j. Submission of Reports of Boards

- (1) The selection board shall submit a report as outlined in Article 6.A.5.d. of this Manual to Commandant via Commander (CG PSC) and the Assistant Commandant for Human Resources for approval, modification, or disapproval. If the board has acted contrary to law or regulation, Commander (CG PSC) shall return the report for reconsideration, revisions, and resubmission.
- (2) After approval of the report by the Secretary, the officers concerned shall be promptly notified of the board's action.
- (3) Except as required by this Article the proceedings of the selection board shall not be disclosed to any person not a member of the board.

6.B.4.k. Consideration by Second Board

A second board convened as described in Article 6.B.4.a. of this Manual shall consider a member of the PCTS who is out of the line of promotion. No officer who was a member of the first board may serve on the second board to consider the same officer.

6.B.5. Selection Boards for Promoting Retired Officers Recalled to Active Duty

6.B.5.a. Convening Boards

When one or more retired officers recalled to active duty are eligible for promotion under Article 3.A.8. of this Manual, Commander (CG PSC) convenes a selection board to consider promoting them to the next higher grade. If Commander (CG PSC) deems this appropriate, he or she may convene separate boards for each grade; otherwise, a single board acts for all grades.

6.B.5.b. Composition of Boards

The board consists of five active duty Coast Guard officers serving in or above the highest grade to which the board may recommend retired officers recalled to active duty for promotion. An officer who has served on a board that failed to recommend an eligible recalled retired officer for promotion may not serve on a later board that considers that same recalled retired officer for the same grade.

6.B.5.c. Board Members' Oath

Each selection board member swears he or she will keep in mind both recalled retired officers' special fitness and Coast Guard efficiency and perform the duties imposed on

him or her without prejudice or partiality.

6.B.5.d. Selection

Each selection board shall recommend for promotion those eligible recalled retired officers whom it considers fully-qualified for promotion.

6.B.5.e. Submitting Board Reports

- (1) Each board submits a report as described in Article 6.A.5.d. of this Manual to the Commandant, through Commander (CG PSC), for approval, modification, or disapproval. If the board has acted contrary to law or regulation, Commander (CG PSC) returns the report for revision and resubmission.
- (2) After the Commandant approves the report, Commander (CG PSC) promptly notifies the officers concerned of the board's action.
- (3) Except as this Article requires, no one shall disclose selection board proceedings to any person not a member of the board.

6.B.5.f. Consideration by Second Board

A second board convened under Article 6.B.5.a. of this Manual considers a recalled retired officer out of line of promotion. No officer who served on the first board can serve on the second board to consider the same officer.

6.B.6. Selection Boards for Officers Recalled from the Temporary Disability Retired List

6.B.6.a. Commissioned Officers

Commissioned officers recalled to active duty from the Temporary Disability Retired List (TDRL) will be placed back on the ADPL and considered for promotion under the usual procedures for officers of their status, except as otherwise defined in Article 1.A.12.b. of this Manual.

6.B.6.b. Chief Warrant Officers

Chief warrant officers recalled to active duty from the TDRL will be considered for promotion under the usual procedures for officers of that status, except as otherwise defined in Article 1.A.12.b. of this Manual.

6.B.7. Selection Boards for Promoting the Coast Guard Band Director

6.B.7.a. Convening a Board

When the band director is eligible for selection for promotion, Commander (CG PSC)

convenes a selection board to consider promoting this officer.

6.B.7.b. Composition of Board

A board convened to consider the band director for promotion to the next higher grade shall consist of five Regular Coast Guard officers serving in or above the grade to which the board may recommend the director for promotion. No officer who served on a board which failed to recommend the band director for promotion may serve on a later board which again considers the same band director. If reasonably available, a Coast Guard Academy Permanent Commissioned Teaching Staff member shall serve as a board member.

6.B.7.c. Members' Oath

Each board member shall swear to the best of his or her ability to keep in view both the band director's special fitness and the efficiency of the Coast Guard Band; perform the duties imposed without prejudice or partiality; and, further, recommend selection for promotion under the standards prescribed in Article 6.B.7.d. of this Manual.

6.B.7.d. Performance Standards

The selection board shall recommend promoting the band director if it believes he or she is fully qualified for promotion by meeting these standards:

- (1) A versatile musician.
- (2) Highly motivated toward the Coast Guard and demonstrates outstanding efforts to enlist highly qualified musicians for assignment to the Coast Guard Band.
- (3) Instills and maintains a high spirit of professionalism within the band.
- (4) Demonstrates outstanding leadership qualities and maintains harmonious relationships within the band, the band members' superiors, and the general public.
- (5) Develops and maintains the Coast Guard Band at peak performance at all times.
- (6) Although the Coast Guard Band is his or her prime responsibility, demonstrates efficiency in performing assigned collateral duties.

6.B.7.e. Submitting Board Reports

- (1) The board submits its report as described in Article 6.A.5.d. of this Manual to the Commandant, through Commander (CG PSC), for approval, modification, or disapproval.
- (2) After the Commandant approves the report, Commander (CG PSC) promptly notifies

the officer concerned of the board's action.

- (3) Except as this article requires, no one shall disclose selection board proceedings to any person not a member of the board.
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6.B.8. Boards to Designate Reserve Officers as Reserve Program Administrators

6.B.8.a. Convening a Board

As the Service needs require, Commander (CG PSC) convenes a board to consider Reserve officers for designation as Reserve Program Administrators (RPAs) and provisional RPAs for designation as permanent RPAs.

6.B.8.b. Board Composition

The board shall consist of five officers, ADPL and RPA, serving in or above the grade to which the board may recommend RPA applicants.

6.B.8.c. Board Members' Oath

Each board member shall swear to keep in view both RPA's special fitness and the Coast Guard's efficiency and to perform the duties imposed without prejudice or partiality.

6.B.8.d. Information Furnished to Boards

Commander (CG PSC) shall furnish the board with this information:

- (1) The number of Reserve officers the board may recommend for designation as provisional RPAs.
- (2) The names of provisional RPAs eligible for consideration as permanent RPAs.
- (3) The names and records of all officers eligible for board consideration.

6.B.8.e. Selection Method

The board shall carefully consider applicants' performance of duty, educational background, administrative ability, and personal characteristics and select only those whom it considers fully qualified and will be successful in this occupation. If more fully qualified applicants for designation are available than vacancies, Commander (CG PSC) shall instruct the board to select on a best-qualified basis.

6.B.8.f. Submitting Board Reports

Each board shall submit a report as outlined in Article 6.A.6.c. of this Manual to the Commandant through Commander (CG PSC) for approval. If the board has acted contrary to law or regulation, the Commandant or Commander (CG PSC) shall return the report for revision and resubmission. Commander (CG PSC) notifies applicants as soon as possible after the Commandant has approved the board recommendation.

6.B.8.g. Designation

All selected applicants are initially designated as provisional RPAs. After they complete their two-year extended active duty requirement, their designation is removed if a board does not select them as permanent RPAs; Article 1.B.3.i. of this Manual.

6.B.9. Selection Boards for Promoting Chief Warrant Officers

6.B.9.a. Convening Selection Boards (10 USC 573)

When Service needs require, the Secretary convenes a selection board to recommend eligible active duty warrant officers for promotion.

6.B.9.b. Board Membership (10 USC 573)

The board consists of at least five ADPL officers serving in a permanent grade above lieutenant commander. Commander (CG PSC-OPM) may assign warrant officers senior in grade to those under consideration as additional selection board members.

6.B.9.c. Board Members' Oath (10 USC 573(f))

Board members shall comply with Article 3.B.3.f. of this Manual.

6.B.9.d. Information Furnished to Boards (10 USC 576)

Commander (CG PSC) furnishes information as indicated in Article 3.B.3.g. of this Manual.

6.B.9.e. Selection Method

The board shall comply with the guidelines found in Articles 3.B.3.j. and 6.A.7. of this Manual.

6.B.9.f. Submitting Report

The board submits a report as described by Articles 3.B.3.j. and 6.A.7. of this Manual, with the name of any chief warrant officer it finds unfit or serving unsatisfactorily in his or her present grade, or found not fully-qualified to serve in the next higher grade, as well as a description of the reasons for each of these findings, for the Commandant's approval or disapproval. If the board has acted contrary to law or regulation, Commander (CG PSC) returns the report for revision and resubmission.

6.B.10. Selection Boards to Continue Active Duty Promotion List Captains on Active Duty

6.B.10.a. Convening a Board

At most annually, or less often as Service needs require, the Secretary may convene a board to recommend continuation for active duty ADPL captains who will complete at least three years' service in that grade during the promotion year in which the board meets and whom the Secretary has not approved for promotion to rear admiral (lower half). The board shall not consider officers subject to a 30- year mandatory retirement under 14 USC 288 during the promotion year in which the board meets (14 USC 289).

6.B.10.b. Board Composition

The continuation board consists of at least six officers in the permanent grade of rear admiral (lower half) or rear admiral (14 USC 289).

6.B.10.c. Convening Notice

Before the continuation board convenes, Commander (CG PSC) notifies the Service at large of the convening date, the continuation zone the board will consider, officers eligible for consideration, and the number of officers the board may recommend for continuation (14 U.S.C. § 289(d) and 14 U.S.C. § 253).

6.B.10.d. Continuation Zone

Before convening a continuation board under Article 6.B.10.a. of this Manual , the Secretary establishes a continuation zone of ADPL captains eligible for consideration for continuation on active duty who previously were not placed in a continuation zone convened under 14 U.S.C. § 289.

6.B.10.e. Communicating with the Continuation Board

Officers in the continuation zone may communicate to the President of the continuation board. The provisions of Article 3.A.4.e. of this Manual apply. (14 U.S.C. § 289(d) and 14 U.S.C. § 253)

6.B.10.f. Continuation Board Members' Oath

Continuation board members shall comply with Article 6.B.1.d. of this Manual. (14 U.S.C. § 289(d) and 14 U.S.C. § 254)

6.B.10.g. Information Furnished to Continuation Boards

Commander (CG PSC) shall furnish the continuation board with the following information:

- (1) The names and records of all officers eligible for consideration in the established continuation zone (14 U.S.C. § 289(d) and 14 U.S.C. § 258).
- (2) The number of officers the board may recommend for continuation on active duty (14 U.S.C. § 289(c)). This number shall be no fewer than 50 percent of the number considered.

6.B.10.h. Selecting the Number of Officers Recommended for Continuation

- (1) The board shall select the number the Secretary directs from the designated continuation zone those officers who in its opinion are best-qualified to continue on active duty (14 U.S.C. § 289(c)).
- (2) When deliberating the board shall adhere to both the general criteria this Article establishes for all personnel boards and the following specific procedures (14 U.S.C. § 289(e)).
 - (a) The board shall divide itself into two equally-sized, or as nearly so as possible, panels with each member on one.
 - (b) Each panel independently considers the records of each officer in the continuation zone, recommends the number of officers the Secretary has directed for continuation, and lists those recommended for continuation.
 - (c) The two panels then meet jointly to compare their recommendations. If both panels recommend an officer for continuation, the board recommends the officer or if neither recommends an officer, the board does not recommend the officer.
 - (d) The board then jointly considers those officers one panel but not the other recommends. A panel may recommend continuing an officer only if at least a majority of the panel members recommends him or her. The board recommends an officer for continuation only if at least two-thirds of the board members recommend him or her.

6.B.10.i. Submitting Continuation Board Reports

- (1) The continuation board shall submit a report, described in Article 6.A.6.c. of this Manual, to the Secretary. If the board has acted contrary to law or regulation, the Secretary returns the report for proceedings in revision and resubmission. After final review the Secretary submits the board report for the President's approval.
 - (2) On Presidential approval, Commander (CG PSC) promptly disseminates the names of the officers the board selected for continuation on active duty to the Service at large.
 - (3) Except as this Article requires, no one shall disclose board proceedings to any person not a member of the board. (14 U.S.C. § 289)
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6.B.11. Selection Board to Continue RPA Captains on Active Duty

6.B.11.a. Convening a Board

The Commandant may convene a board annually, or less often as Service needs require, to recommend for continuation on active duty those RPA captains who will complete at least three years of service in that grade during the promotion year in which the board meets and who previously were not considered for continuation. The board shall not consider officers subject to mandatory retirements under either 14 U.S.C. § 742 or Article 1.C.7.e. of reference (c), Military Separations, COMDTINST M1000.4 (series) during the promotion year in which the board meets. A board normally convenes if:

- (1) Commander (CG PSC) does not expect a sufficient number of vacancies at captain to permit promoting those RPAs on the selection list for that grade as of the dates their running mates are promoted as described in Article 3.A.6.a. of this Manual, or
- (2) The needs of the Service otherwise require it.

6.B.11.b. Board Composition

A board convened to consider RPA captains for continuation on active duty consists of five or more officers who serve as captain or above who previously have been continued. Three members shall be RPAs, but if a sufficient number of RPAs is not available to satisfy this requirement, Commander (CG PSC) may reduce the number of RPA members to at least one. If no Reserve officer serving on active duty is senior to all officers considered for continuation, Commander (CG PSC-OPM) recalls a retired or inactive duty Reserve officer senior to all officers the board will consider to active duty to serve on the board.

6.B.11.c. Convening Notice

Before the continuation board convenes, Commander (CG PSC) notifies the Service at large of the convening date, the composition of the continuation zone, and the number of officers the board may recommend for continuation.

6.B.11.d. Continuation Zone

Before convening a continuation board, Commander (CG PSC) establishes a continuation zone of RPA captains who will have completed at least three years' service in that grade during the promotion year in which the board meets. The zone consists of the most senior RPA captains on active duty eligible but not previously considered for continuation.

6.B.11.e. Communicating with the Continuation Board

Officers in the continuation zone may communicate to the President of the continuation

board. Article 3.A.4.f. of this Manual applies.

6.B.11.f. Continuation Board Members' Oath

Continuation board members shall comply with Article 6.B.1.d. of this Manual.

6.B.11.g. Information Furnished to Continuation Boards

Commander (CG PSC) furnishes this information to the continuation board:

- (1) The names and records of all officers eligible for consideration in the established zone.
- (2) The number of officers the board may recommend for continuation on active duty. This number shall be fewer than 100 percent, but not fewer than 50 percent of the number considered.

6.B.11.h. Selection

The board shall select from the designated continuation zone those officers who in its opinion are best-qualified to continue on active duty.

6.B.11.i. Submitting Continuation Board's Reports

- (1) The continuation board submits a report as outlined in Article 6.A.6.c. of this Manual to the Commandant, through Commander (CG PSC). If the board has acted contrary to law or regulation, the Commandant returns the report for revision and resubmission.
- (2) On the Commandant's approval, Commander (CG PSC) promptly disseminates the names of the officers the board selected for continuation on active duty the Service at large.
- (3) Except as this Article requires, no one shall disclose board proceedings to any person not a member of the board.

6.B.12. Screening, Selection and Appointment of Officers to the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy

6.B.12.a. Convening a Panel (14 U.S.C. § 188)

As Service needs require, panels will be convened to consider applicants for appointment as members of the Coast Guard Academy's Permanent Commissioned Teaching Staff (PCTS). Commander (CG PSC) will solicit applications through an ALCOAST and other publications deemed necessary to broaden the pool of qualified candidates. All applications received will be processed by Commander (CG PSC) to ensure each

applicant has submitted all the required information.

6.B.12.b. Selection Method

- (1) Initially, applicants will be considered by a panel convened by Commander (CG PSC). Commander (CG PSC), with the concurrence of the Superintendent, shall prepare a panel precept, which will include, but may not be limited to, the following criteria: knowledge in the discipline, teaching/presentation skills, potential for further growth as an educator, scholar, administrator and role model, and ability to contribute to cadet life outside the classroom. The precept will also mandate adherence to the Coast Guard's Equal Opportunity policy. The panel will evaluate all applicants and will choose the ones they deem best qualified. The panel will then reconvene at the Coast Guard Academy to further evaluate the best qualified applicants through interviews as well as teaching/presentations and subject matter expertise demonstrations. In a report to the Superintendent, via the Dean of Academics, the panel shall recommend a final list of those candidates determined to be best qualified for the PCTS position. The Superintendent shall recommend a preferred candidate for PCTS to the Commandant via Commander (CG PSC) and the Assistant Commandant for Human Resources. The Superintendent shall include a prioritized list of an appropriate number of alternates.
- (2) The Commandant is the approving official on the selection.

6.B.12.c. Panel Composition

The panel shall consist of five or more members to include: the Associate Dean, the Head of the Academic Department in which the appointment will be made or the respective Section Chief, an officer from Commander (CG PSC-OPM), a representative from the program manager's office most closely concerned with the discipline in which the PCTS selectee will teach, and additional members designated by the Superintendent. At least two panel members shall be members of the PCTS. Typically, the panel includes at least one faculty member from another academic department. All members of the panel must be senior to the applicants.

6.B.12.d. Panel Convening Notice

A solicitation message released by Commander (CG PSC) will announce the convening of a panel to fill authorized PCTS vacancies.

6.B.12.e. Panel Members' Oath

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

6.B.12.f. Information Furnished to Panel

Commander (CG PSC) shall furnish the service records (if applicant is a military member) and applications of all the qualified candidates responding to the solicitation.

6.B.12.g. Selection Criteria

The PCTS of the Coast Guard Academy exists to support the mission of providing teaching expertise and leadership in the academic division. Members of the PCTS should be models of academic, leadership and professional excellence. The military component of the PCTS complements the civilian and rotating military components of the faculty. PCTS applicants:

- (1) Must possess at least a master's degree in the discipline or other closely aligned discipline associated with the PCTS vacancy;
- (2) Must demonstrate capacity to complete the terminal degree in a timely manner;
- (3) Must possess the teaching and presentation skills necessary for success in the classroom as well as in other professional venues (two years of teaching experience is desired but is not required);
- (4) Must have the potential for growth as a leader, educator, scholar, administrator and role model. Applicants must have the potential to become competitive for the position of academic department head;
- (5) Must have the desire and ability to contribute to cadet life and development in non-academic areas;
- (6) Will normally be in grades O-2 through O-4, if the applicant is already a commissioned officer.

6.B.12.h. Reports

- (1) The panel shall submit a report as outlined in Article 6.A.6.c. of this Manual (applicable subparagraphs (1) through (3) and (6)) to Superintendent, Coast Guard Academy, via the Dean of Academics, for further consideration. If the panel has acted contrary to regulation, the Superintendent shall return the report for revision and resubmission. The panel shall certify that in the opinion of at least a majority of the members, the candidates recommended for designation were selected on a best qualified basis.
- (2) After reviewing the recommendation of the panel, the Superintendent, Coast Guard Academy will forward his or her preferred candidate to Commandant (CG-00) via Commander (CG PSC) and Commandant (CG-1).

- (3) When the Commandant approves the report, Commander (CG PSC) shall promptly disseminate the name(s) of the individual(s) selected for designation to the PCTS to the Service at large.
- (4) Except as this Article requires, no one shall disclose panel proceedings to any person not a member of the panel.

6.B.12.i. Plan of Study

- (1) Upon selection for the PCTS, a candidate who does not already hold the terminal degree will, in consultation with their Department Head and with due regard for the requirements of the academic discipline and the contemplated graduate programs, design a Plan of Study for completion of the degree.
- (2) The Plan of Study will include processes for selection of graduate programs and detailed timetables for the completion of course work and qualifying examinations, preparation of the dissertation prospectus, and research and writing of the dissertation.
- (3) The Plan of Study must be approved by the Dean of Academics, who will keep the document on file. Timely progress toward completion of the terminal degree, as outlined in the Plan of Study, will be evaluated annually as part of the officer's regular Officer Evaluation Report.
- (4) In consultation with the Department Head and with the approval of the Dean of Academics, a PCTS officer may revise the Plan of Study if such revision becomes necessary during the officer's course of study.

6.B.12.j. Probationary Period

Each person who is selected to the PCTS will normally complete a two-year probationary period before being permanently appointed. If an officer has successfully served at the Coast Guard Academy for two years or more, the Superintendent may recommend that the probationary period be waived. During the probationary period, the officer must demonstrate the capacity to complete the terminal degree, the skills of an excellent teacher, and the willingness to contribute to the professional development of cadets. Following successful completion of the probationary period, the officer shall be sworn into the PCTS. If, at the end of the probationary period, the Superintendent deems the officer has not demonstrated the capacities required above, the officer will not be sworn into the PCTS.
